



Virginia Department of Rail and Public Transportation

Grant Administration Procedures

FOR PUBLIC TRANSPORTATION AND COMMUTER ASSISTANCE PROGRAMS

Purple Book

Grant Administration Guidance for Fiscal Year 2023

July 1, 2022 – June 30, 2023



Table of Contents

Chapter 1: Introduction	3
Chapter 2: Development and Approval of Six Year Improvement Program	4
Chapter 3: Grants with Funding Through Federal Highway Administration	5
Section 3.1 - FHWA Funding, CMAQ and RSTP	5
Chapter 4: Grants with Federal Funding from Federal Transit Administration	7
Section 4.1 - FTA Funding- Transit Provider is DIRECT Recipient	7
Section 4.2 - FTA Funding- DRPT is the Recipient.....	8
Chapter 5: Development and Execution of Grant Agreements	10
Section 5.1 - SMART SCALE Projects.....	11
Chapter 6: Grant Reimbursements	12
Section 6.1 - Support Documents	15
Section 6.2 - Indirect Costs	16
Section 6.3 - Travel Reimbursements	16
Section 6.4 - Reimbursement Request Timeline	18
Section 6.5 - Mid-Cycle Grant Requests	20
Section 6.6 – Prompt Payment to Sub-contractors.....	20
Section 6.7 – Public Transit Operating Assistance Payments.....	21
Chapter 7: Performance Data Reporting Requirements	21
Section 7.1 - General Requirements	21
Section 7.2 - Entering Performance Data in OLGA.....	22
Section 7.3 - Amending Performance Data	22
Section 7.4 - Commuter Assistance Program Reporting Requirements.....	22
Chapter 8: Project Time Extension Requests and Budget Increase Requests	25
Chapter 9: Project Budget and Scope Change Requests	26
Section 9.1 - Budget and Scope Change Requests for Transit Programs	27
Section 9.2 - Budget and Scope Change Requests for CAP Grants	28
Section 9.3 - Budget and Scope Change Requests for SMART SCALE Projects.....	29
Chapter 10: Training Assistance	30
Section 10.1 - Eligible Applicants.....	30
Section 10.2 - Eligible Program Criteria	30
Section 10.3 - Application Procedures.....	32
Chapter 11: Project Oversight	33
Section 11.1 - Project Reviews	33

Section 11.2 - Engineering Oversight	33
Chapter 12: Grant Close-Out	35
Chapter 13: Asset Management	36
Section 13.1 - Transit Vehicle Manufacturers (TVMs)	36
Section 13.2 - Capital Asset Inventory	36
Section 13.3 - Transit Asset Management (TAM) Plan	37
Section 13.4 - Disposal of Vehicles: Rural Providers (FTA 5311)	38
Section 13.5 - Disposal of Vehicles: Grantee uses federal funds and DRPT Provides Match	Error!
Bookmark not defined.	
Chapter 14: Public Transportation Safety Plan.....	40
Chapter 15: Submission of Audited Financial Statements	41
Chapter 16: Financial Compliance Review.....	41
Chapter 17: Capital Budgeting.....	42

Chapter 1: Introduction

This document outlines procedures for recipients of state and federal grants under programs administered by the Virginia Department of Rail and Public Transportation (DRPT). These procedures govern the administration of all transit, commuter assistance programs (CAP) and planning programs/projects funded by DRPT, from the date applications are approved by the Commonwealth Transportation Board (CTB) until the projects are closed.

DRPT Grant Programs:	Other Federal Funds Administered or Allocated by DRPT:	Federal Aid Programs Allocated by MPOs or VDOT and Administered by DRPT:
<ul style="list-style-type: none">• Transit Operating Assistance• Transit Capital Assistance• CAP Operating Assistance• CAP Project Assistance• Metropolitan Transportation Planning (FTA Section 5303)• Demonstration Project Assistance• Technical Assistance• Public Transportation Intern Program• Environmental Mitigation Trust for State Beneficiaries	<ul style="list-style-type: none">• Urbanized Area Formula Grants (FTA Section 5307 Governor's Apportionment)• Formula Grants for Rural Areas (FTA Section 5311)• Bus and Bus Facilities Program (FTA Section 5339)	<ul style="list-style-type: none">• Congestion Mitigation and Air Quality Improvement Program (CMAQ)• Regional Surface Transportation Program (RSTP)

The procedures described in this document apply to various staff at agencies and organizations receiving funding from DRPT. Agency staff involved with grant agreements, invoicing, funding administration and tracking, capital asset inventory, financial compliance, and project/program implementation and management should read this document and follow the procedures within. The procedures in this document cover the following grant programs:

This document is just one of the several available resources created for grant applicants and recipients to assist with DRPT's grant application and post-award grant administration processes. Other helpful resources include [DRPT's Grant Program Application Guidance document \(Blue book\)](#) and DRPT's grant workshops held each year. In addition, DRPT's staff is available throughout the year to provide technical assistance and answer questions regarding specific grant programs and procedures.

Chapter 2: Development and Approval of Six Year Improvement Program

Each spring the CTB reviews a Draft Six Year Improvement Program (SYIP) which is a detailed programming document listing the proposed allocation of funding for both DRPT and Virginia Department of Transportation (VDOT) programs. The CTB then authorizes its release to the public for hearings. After considering comments received from the public, the CTB approves and adopts a Final SYIP. By law, the CTB must adopt a SYIP by June 30th each year. DRPT develops the transit and CAP portion of the SYIP based upon applications from potential recipients for inclusion in the overall SYIP. The DRPT Director is a non-voting member of the CTB and serves as DRPT's liaison with the Secretary of Transportation and the CTB.



To learn more about the SYIP process, visit the [DRPT SYIP webpage](#). Access the final FY 23 SYIP [here](#)

Key Steps in the SYIP Process

- 1. Application Submission:** After they have reviewed DRPT's Grant Program Application Guidance, eligible funding recipients must submit applications using DRPT's [OnLine Grant Administration \(OLGA\)](#) System by *11:59pm on February 1 or the first business day following February 1*. Any changes to this schedule will be communicated in advance and will also be displayed in OLGA. **Note:** The 5303 application for MPO funding are the only exception to this with their submission deadline being May 1 of each year (to allow the Unified Planning Work Programs (UPWP) to be approved by the MPOs).
- 2. FTA Certifications and Assurances:** As part of the Federal Transit Administration's (FTA) Master Agreement, applicants requesting federal assistance must comply with various federal requirements. These grant terms, conditions, and responsibilities are detailed in a single document produced each year by the FTA called the "Annual List of Certifications and Assurances". Applicants must self-certify that they are following these requirements and submit this as part of the grant application process by "pinning" FTA's certifications and assurances document in OLGA. Contracts for federal funding will not be executed unless the FTA certifications and assurances are pinned in OLGA.



Click [here](#) to access a tutorial detailing how to pin FTA's certification and assurances in OLGA.

- 3. DRPT Evaluates Applications:** In accordance with the Grant Program Application Guidance document, DRPT reviews applications submitted by the deadline (*11:59pm February 1 or the first business day following February 1*).
- 4. DRPT Prepares and Presents the Draft SYIP to CTB:** The Draft SYIP is typically presented to the CTB in late spring. This meeting tends to take place on the third Tuesday of April or May. There will be a notice in OLGA when the draft is released to the public. *After the draft is posted, DRPT will request that funding recipients affirm that local matching funds are available to meet the Draft SYIP proposed recommendations.*
- 5. Public Hearings:** The CTB holds public hearings in the spring on the Draft SYIP. DRPT will post information about the meetings on OLGA as soon as they are scheduled.

6. **Amendments to the Draft SYIP:** The CTB takes into consideration public comments and may direct DRPT to make amendments to the Draft SYIP. These amendments may also include edits to any line items that are not properly presented.
7. **Adoption of the Program:** The Final SYIP is adopted by the CTB in June. DRPT Program Managers notify recipients about the CTB action and the Final SYIP is posted on DRPT's website. If any requests for funding were included in the Draft SYIP but not included in the Final SYIP, DRPT will inform the grant applicant in writing.
8. **Following CTB approval:** the recipient may begin incurring expenses on the project at their own risk (see exception to this rule under [section 3.1, key step 5](#)). Funding can be reduced due to General Assembly, CTB, or federal actions. DRPT's participation in projects may alter depending on these actions. The spending for all projects must correspond with the executed contract start and end date. Any expenses incurred outside of the contract period will not be eligible for reimbursement.

Chapter 3: Grants with Funding Through Federal Highway Administration

Many of the approved transit projects and Commuter Assistance Programs (CAP) are at least partially funded with federal assistance. These federal funds generally come from the Federal Highway Administration (FHWA) or the Federal Transit Administration (FTA).

The FHWA is the source for Regional Surface Transportation Program (RSTP) and Congestion Mitigation and Air Quality (CMAQ) funds. It is DRPT's expectation that most FHWA project funding will be flexed, or transferred, to the FTA and that funds will be drawn down directly by recipients. Flex requests must be initiated by the recipient through DRPT. On an exception basis, these funds can remain with FHWA and be administered through DRPT. Both of these situations are discussed further in [section 4.0](#).

Section 3.1 - FHWA Funding, CMAQ and RSTP

CMAQ and RSTP projects must comply with all applicable Federal requirements, including those affecting determinations of eligible project costs. All Federal projects must conform to the appropriate cost principles for federal aid. Most CMAQ and RSTP projects are subject to [2 CFR Chapter II Part 200](#) -also known as "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards". These principles focus on determining the allowable costs for the subject government entities and also provide a discussion of the relationship between appropriate costs and the purpose of the program. In addition to the aforementioned cost principals, FHWA's policy and guidance regulations for CMAQ and RSTP must also be closely adhered to. For all requests for reimbursement submitted to DRPT, a DRPT Program Manager will make the determination if an expense is eligible for reimbursement or not. Therefore, it is incumbent upon the funding recipient to check with their DRPT Program Manager on the eligibility of an expense before expenses are incurred.

The allocation of CMAQ and RSTP funding is determined by regional Metropolitan Planning Organizations ([MPOs](#)) through the Transportation Improvement Program (TIP) planning process and **not by DRPT**. VDOT and DRPT include these funds in the SYIP and State Transportation Improvement Program (STIP). Projects are identified by a Uniform Project Code (UPC) assigned by VDOT. UPC projects that were created prior to FY14 are included in the VDOT SYIP and STIP. UPC projects that

were created in FY14 and after, and assigned to DRPT by VDOT, are included in the DRPT SYIP and STIP. It is DRPT's expectation that most RSTP and CMAQ project funding will be flexed to the FTA and drawn down from the FTA directly by the approved direct recipient. On an exception basis, these funds can be administered through DRPT, and the recipient can execute a contract with DRPT, who will administer the funds through VDOT and FHWA.

Key Steps

- 1. MPO Programming:** Regional MPOs approve the allocation of RSTP and CMAQ funds to transit projects and CAP within the region through adoption of the region's TIP. In the case of Northern Virginia, an additional entity- the Northern Virginia Transportation Authority, makes a preliminary recommendation to the National Capital Region Transportation Planning Board- the region's MPO.
- 2. RSTP or CMAQ Fund recipients' notification to DRPT:** Recipients of RSTP or CMAQ funds should ensure these projects are included in their TIP, as well as in the STIP and SYIP to minimize delays in executing a contract. VDOT and the FTA will not approve the flex of funds unless the project and funding are in the STIP. Federal funding recipients should send an email to the DRPT Manager of Financial Programming and the DRPT Program Manager regarding their federal funding award.

Email Requirements:

- Project Name
- UPC (listed in SYIP or STIP)
- Fiscal Year of the SYIP in which allocation was approved
- Direct recipient's request to 'flex' funds to the FTA or the recipient's request to have DRPT administer the federal funds

Note: If the recipient requests that the funds be flexed, the recipient must have completed an application within [TrAMS](#) (FTA's online grant system) and provide the initial TrAMS application number which will use the funds. If the recipient requests that DRPT administer the federal funds, the recipient must provide an estimated end date of when the funds will be fully expended

The process of flexing funds or executing agreements for FHWA funds can take up to six months when TIP/STIP amendments are required. DRPT must work through VDOT, FTA, and the FHWA to flex funds or to obtain federal authorization for projects. This is why it is vital for a recipient to ensure their projects are in the STIP and SYIP appropriately once they have received an allocation of FHWA funding from the MPO on one of their projects. The Appropriations Act requires all RSTP funds be obligated in a federal award within 12 months of being allocated by the CTB and expended within 36 months of being obligated; CMAQ funds must be obligated in a federal award within 24 months of being allocation by the CTB and expended within 48 months of being obligated.

- 3. DRPT Notification to VDOT to Flex FHWA Funds:** After receiving approval from the FTA to flex funds, DRPT notifies the VDOT Federal Programs Division. VDOT then flexes the funds to the FTA, after receiving approval from the FHWA. After the FTA awards the federal grant, the recipient must notify DRPT's Financial Programming Manager of the approved FTA grant number, so that an agreement for the state match can be written and executed.
- 4. DRPT Notification to VDOT to Authorize FHWA Funds:** It is DRPT's expectation that most projects will be flexed, or transferred, to the FTA and drawn down directly by recipients. On an exception

basis, these funds can be administered through DRPT. When the funding recipient requests that CMAQ or RSTP funds be administered by DRPT, and DRPT approves, DRPT will work with VDOT to obtain a federal authorization number and to have the federal funds obligated. If the federal funding is appropriately included in the TIP, STIP, and SYIP, this process should take approximately one month, however, it may take longer. Funding recipients should allow for a minimum of three months for the federal authorization process and should send their request to receive funds to DRPT with that timeline in mind.

- 5. Preparation of Project Agreements:** When VDOT gives DRPT a federal authorization number to confirm the obligation of funds, DRPT proceeds with writing a federal project agreement. Unlike the process described in [section 2.0](#), key step 8, for state funding recipients, FHWA authorized funding recipients cannot spend federal funding or state matching funds prior to the federal authorization date or beyond the end date requested. See [section 5.0](#) for details on agreement preparation and signing the agreement.

Chapter 4: Grants with Federal Funding from Federal Transit Administration

FTA funding is identified in the [Federal Register](#). These funds may be for a specifically identified recipient, such as a FTA Section 5307: Urbanized Area Formula Grants apportionment or FTA Section 5339: Bus and Bus Facilities Program apportionment funds. They may also be awarded to DRPT in the Federal Register and allocated to recipients through the annual SYIP process.

All federally funded projects must complete appropriate NEPA and environmental screening processes, if required. The level of review needed is related to the type of action and scope. Projects may require consultation with the Federal Transit Administration and the Department of Rail and Public Transportation. Please review the attached form and contact your program manager with any questions. Urban Recipients must apply for FTA funding through FTA's online system, [TrAMS](#).

FTA Programs noted in Section 4.0:

- FTA Section 5303: Metropolitan Transportation Planning
- FTA Section 5307: Urbanized Area Formula Grants
- FTA Section 5339: Bus and Bus Facilities Program
- FTA Section 5311: Formula Grants for Rural Areas

Section 4.1 - FTA Funding- Transit Provider is DIRECT Recipient

Funding from FTA programs 5303, 5310, and 5311 are always applied for by DRPT, making DRPT the direct recipient of the funds- this process is discussed in [section 4.0](#). FTA Section 5339 funds are apportioned to both DRPT and large urban recipients; DRPT applies for amounts apportioned to them, or DRPT may allocate 5339 funds to a small urban recipient. FTA program 5307 funds are always applied for directly by the recipient. This process is described below.

Key Steps

- 1. Notification to DRPT:** Recipients are responsible for applying for state matching funds to the FTA Section 5307 or FTA Section 5339 funds during the grant application period discussed in [section 2.0](#). Recipients must ensure that the TIP accurately reflects the project and funding. DRPT will amend/adjust the STIP as necessary, based on TIP actions received from MPOs.

2. **Governor’s Apportionment:** DRPT allocates 5307 Governor’s Apportionment funds to small urban recipients based on the allocation in the Federal Register. In instances where there are multiple transit providers within one urban area DRPT requires a “split letter” from transit providers. A split letter is an agreement between transit providers in a specific small urban area on how to split the 5307 and 5339 funds allocated to their area. This letter helps further guide DRPT’s allocation of 5307 funds. After the CTB approves the SYIP in June, small urban recipients should review the 5307 Governor’s Apportionment allocation, and ensure their MPOs are notified, so that the TIPs can be amended or adjusted, if necessary. DRPT will make STIP amendments/adjustments based on TIP actions received from MPOs, if necessary.
3. **TrAMS Application:** Recipients apply for 5307, 5339, and any discretionary funds they were approved for in [TrAMS](#).
4. **Notification to DRPT of Approval:** After a recipient’s TrAMS application is approved, the recipient must notify DRPT’s Manager of Financial Programming and their DRPT Program Manager of the approval via email. The email should include the federal award number, the funding amounts, approved line items, and the information included in the approved DRPT SYIP.
5. FTA allows Pre-Award Authority that gives authority under specific and limited circumstances to incur costs for eligible project activities (before the Federal Award Date), without prejudice to possible federal participation in the cost of these project activities. Failure to follow all federal regulations can disallow these costs.
6. **Preparation of Project Agreements:** Upon TrAMS notification of grant approval, DRPT’s Financial Programming Division will prepare a state project agreement for matching funds. See [section 5.0](#) for further details.

Section 4.2 - FTA Funding- DRPT is the Recipient

DRPT is the direct recipient for some FTA program funds, which are then distributed to recipients throughout Virginia. These FTA programs include: 5303, 5307 Governors Apportionment, 5311, and 5339. DRPT is also a direct recipient for the FTA 5310 funds for rural and small urban programs. DRPT is the designated recipient for the FTA 5310 funds allocated to the Hampton Roads, Richmond, and Roanoke urbanized areas. The FTA funding awarded to DRPT is distributed to DRPT recipients through DRPT’s application process using [OLGA](#). All applications are due by **11:59pm February 1 or the first business day following February 1**. The 5303 application for MPO funding is the only exception to this- with their submission deadline being May 1 of each year (to allow the Unified Planning Work Programs (UPWP) to be approved by the MPOs). Any changes to this schedule will be communicated in advance and will also be displayed in OLGA.

Key Steps

1. **Governor’s Apportionment:** DRPT allocates 5307 Governor’s Apportionment funds to small urban recipients based on the allocation in the Federal Register. In instances where there are multiple transit providers within one urban area DRPT requires a “split letter” from transit providers. A split letter is an agreement between transit providers in a specific small urban area on how to split the 5307 and 5339 funds allocated to their area. This letter helps further guide DRPT’s allocation of 5307 funds. After the CTB approves the SYIP in June, small urban recipients should review the 5307 Governor’s Apportionment allocation, and ensure their MPOs are notified, so

that the TIPs can be amended or adjusted, if necessary. DRPT will make STIP amendments/adjustments based on TIP actions received from MPOs, if necessary.

2. **DRPT Applies in TrAMS:** DRPT applies in TrAMS for the 5303, 5310, 5311, and rural 5339 funding. After the TrAMS application is approved, DRPT's Financial Programming Division will prepare a federal project agreement and state project agreement for funds. See [section 5.0](#) for further details.
3. **Recipient Applies in TrAMS:** DRPT will write a letter to the FTA to confirm the allocation of the 5307 Governors Apportionment funds based on the approved SYIP. If DRPT's FTA 5339 funds have been allocated to a small urban transit provider, DRPT will write a letter to the FTA to confirm the allocation of the 5339 funds. In both these cases, the transit provider will apply for the federal funds directly with the FTA. The transit provider must notify DRPT's Manager of Financial Programming when the TrAMS application is approved. The Financial Programming Division will prepare a state match agreement based on the approved FTA grant.
4. **Provide Data to DRPT:** Any recipient receiving FTA funding through DRPT is required to provide semiannual data to DRPT for the required submission on Disadvantaged Business Enterprises. The periods are October 1 through March 31 and April 1 through September 30 of each year, with the reports due to DRPT on April 30 and October 31, respectively. These reports provide the total contracting opportunities each recipient had throughout the six month period as well as how many of those opportunities went to Disadvantaged Business Enterprises. DRPT's Civil Rights Officer will contact you with further details.
5. **Certification:** Transit recipients awarded grants exceeding \$25,000, must obtain a certification from contractors awarded contracts in excess of the federal small purchase threshold stating that they are not suspended or debarred from receiving federally assisted contracts. Recipients must provide immediate written notice to DRPT for reporting to FTA if they learn that their certification or the certification of any contractors is no longer valid. 5311 Application must include the Department of Labor (DOL) [Special Warranty Arrangement Certification form](#) (formerly Section 13c). The form will be attached in the FTA Section 5311 OLGA application. **Note:** The General Services Administration publishes the *List of Parties Excluded from Federal Procurement and Non Procurement Programs*. Recipients can search the list on the GSA website [here](#).
6. FTA allows Pre-Award Authority that gives authority under specific and limited circumstances to incur costs for eligible project activities (before the Federal Award Date), without prejudice to possible federal participation in the cost of these project activities. Failure to follow all federal regulations can disallow these costs.

Chapter 5: Development and Execution of Grant Agreements

Following approval of the SYIP by the CTB, DRPT develops state project agreements for the approved **projects funded solely with state and local funds**. Recipients are authorized to proceed on expenditures for projects funded only with state and local funds as of July 1st of the SYIP year approved, before execution of the state project agreements and at their own risk.

Project agreements for state matches to federal funding are written when the recipient provides an executed FTA award number to DRPT staff and funds are approved for expenditure based on the dates approved in the FTA award. If DRPT is administering the federal funds, project agreements for the federal funds and state match are written when DRPT receives an approved FHWA authorization number from VDOT or when DRPT receives an executed FTA award number from the FTA; these funds are approved for expenditure when the federal award is approved. FTA, however, does allow “pre-award” authority; this means expenditures can be made before the actual award, if “pre-award” has been specified in the application and approved by the FTA. FHWA does not allow “pre-award” authority. In all cases, the project agreements for the state matches can only be developed if all appropriate amounts are included in an approved SYIP, either VDOT’s or DRPT’s.

Project agreements are subordinate to master agreements, and contractually specify the details of funded projects. **Grant recipients must have a signed State Master agreement on file with DRPT before DRPT will issue a project agreement.** Separate project Agreements are executed for each project undertaken by a DRPT recipient. DRPT project agreements include a project summary, the maximum state or federal share of eligible expenses, the project schedule, start and end dates, and project budget which specifies the project description for which the budget may be spent. The start date of the project agreement for federal funding or state match to federal funding cannot precede the approval date of the federal authorization agreement from the FHWA, or the approval date of the FTA award (unless pre-award authority was granted). In the case of the FTA award, DRPT cannot identify a start date prior to the date the project was approved by the CTB.

Contact DRPT’s Financial Programming staff for any questions about the agreements.

Key Steps

- 1. DRPT Preparation of Agreements:** The grant agreements are prepared by DRPT’s Financial Programming staff and submitted to the DRPT Legal Counsel for review. Agreements are then uploaded to OLGA for review and approval by the DRPT Program Manager, Division Administrator, and Finance Department. After approvals by DRPT staff, the agreement is then released to the grant recipient for execution in OLGA.
- 2. Grant Recipient Review and Execution of Agreement:** When the agreement is ready for execution, the DRPT Automated Mailer system will send an email to the grant recipient notifying them that the contract is ready for approval. All grant recipient staff that will be managing, working on, incurring/authorizing expenses, and invoicing for the program/project should read the agreement. The agreement may contain approved project details, eligible expenses, line item budgets, and total budget that are different than the original application.

Note: The term ‘contract’ is used in OLGA. ‘Contract’ means the same as project agreement.

All grant recipient staff that will be managing, working on, incurring/authorizing expenses, and invoicing for the program/project should read the agreement. The agreement may contain

approved project details, eligible expenses, line item budgets, and total budget that are different than the original application.

An authorized person within the grant recipient's agency/organization approves (executes) the agreement in OLGA. The grant recipient's Master User can set up an OLGA user account for the person that is authorized to sign agreements. The agreement must be signed only by grant recipient agency personnel with the authority to sign agreements and enter their agency into a binding agreement. DRPT reserves the right to obtain a copy of written authorization stating that the person executing the agreement has the authority to do so.

- 3. DRPT Execution of Agreement:** Once the agreement is executed by the grant recipient, the DRPT Director or CFO will execute the agreement. The fully executed agreement is then available in electronic format in OLGA and the project is open for reimbursement requests.
- 4. Approval of FTA Certifications and Assurances:** As part of the FTA's Master Agreement, applicants requesting federal assistance must comply with various federal requirements. These grant terms, conditions, and responsibilities are detailed in a single document produced each year by the FTA called the "Annual List of Certifications and Assurances". Applicants must self-certify that they are following these requirements and submit this as part of the grant application process by "pinning" FTA's certifications and assurances document in OLGA. Contracts for federal funding will not be executed unless the FTA certifications and assurances are pinned in OLGA.
- 5. Contact Information:** Recipients must maintain the correct contact information in OLGA at all times. The information in OLGA is considered the "official" contact list for DRPT. When project agreements are ready to be pinned, the notifications will go out to the contacts listed in OLGA. If the names have not been updated, the notification may not reach those who need to know about it. If recipients are locked out of OLGA, they should contact their agency Master User. If the Master User is locked out they should contact Stephen O'Connor at Stephen.Oconnor@drpt.virginia.gov.

Section 5.1 - SMART SCALE Projects

Agreements for SMART SCALE transit projects will follow the same steps listed in [chapter 5.0](#). Once the project has been approved by the CTB and funding is allocated by year, DRPT will create the contract, if the funds allocated are state only.

If federal funds have been allocated, the recipient will need to complete an application with the FTA to receive the federal funds, same as the CMAQ and RSTP procedures discussed in [chapter 3.0](#). The federal funds will need to be flexed to the FTA, annually.

The contract will follow the process noted above in [chapter 5.0](#), but it will be prepared using the multiyear funding agreement format. Grant recipients should be prepared to provide project milestone dates for inclusion in the contract.

For SMART SCALE scope and/or budget change requests, please refer to [section 10.3](#) below.



Chapter 6: Grant Reimbursements

DRPT provides funding for approved projects on a reimbursement basis, after recipients incur expenses. Once a project agreement has been fully executed, recipients may begin submitting reimbursement requests through OLGA. The frequency of reimbursement requests should reflect the rate of expenditure on each project, but should not exceed one request a month per project. Reimbursement requests must be submitted at least quarterly, unless there have not been expenditures during the quarter. For many projects, monthly submissions of reimbursement requests are preferred.



Click [here](#) to access a tutorial detailing reimbursement request submissions in OLGA.

State Operating grants for transit recipients are based on a payment schedule approved in the State Operating Agreements and not paid by reimbursement through OLGA. To review procedures for state operating payments, please see [chapter 8.0](#).

The following is a high-level summary of what recipients must supply to DRPT when submitting a reimbursement request. Recipients must be sure to include all of the required information with their reimbursement request so that DRPT Program Managers are able to properly review the reimbursement request and consider approving for payment. Please note that expenditures must have been incurred but not necessarily paid before seeking reimbursement. Recipients must remit payment to vendors and contractors within five business days of receipt of reimbursement from DRPT. Refer to the State Master Agreement for more details and requirements.

Key Steps

1. When submitting a DRPT reimbursement request, the recipient must ensure the expenses submitted are appropriately supported (see [section 6.1](#)) and are eligible, necessary, and authorized activities in accordance with the Master Agreement, Project Agreement, and the [Transit and Commuter Assistance Grant Application Manual \(aka The Blue Book\)](#).
2. Grant recipients should verify that the expenses submitted on the reimbursement request were incurred during the designated time frame of the project, as shown in the project agreement.
3. The reimbursement request as well as all supporting documents pertaining to the reimbursement request, as detailed in [section 6.1](#), and those requested by DRPT Program Managers during the review process, must be uploaded to OLGA by the grant recipient. Missing supporting documents can lead to a delay or reject of the reimbursement.

A Summary Sheet must be uploaded in OLGA with the reimbursement request. The Summary Sheet is the first page of the reimbursement request and shows an itemized list of all expenses included in the request, and the total amount of the requested. The Summary Sheet should include the following data and information for each expense:

- Date of paid invoice
- Invoice number
- Total amount of invoice
- Amount of the invoice charged to the reimbursement request
- Name of vendor
- Description of the expense
- Notes that explain why only part of an invoice amount is being requested, if applicable.
- Notes that explain if an invoice amount is being split and charged to more than one project. The notes should include the project numbers, amounts charged, and reimbursement request numbers for how the charges are split.
- Expense category as shown in the project agreement
- Total amount charged

Note: The total amount provided on the Summary Sheet must equal the total amount of the reimbursement request. Proper supporting documentation, as described in [section 6.1](#), must be uploaded in OLGA and be arranged in the identical order as listed on the “Summary Sheet.”

Example Summary Sheets:

Example #1 Summary Sheet

(Sample for individual Vendor and/or Contractor invoices within a Reimbursement Request)

Vendor Invoice Number	Vendor Name	Work Performed	Dollar Value of Work	Invoice Paid Date
			Total:	

Example #2 Summary Sheet

(Sample for state and federal funded CAP projects)

Invoice Date	Invoice #	Vendor	Invoice Amount	Amount Charged to Project	Description & Reason for Charge	Grant Expense Category	Notes
				Total:			

4. **A detailed report of actual work performed by each agency and contractor staff person must be provided with reimbursement requests for CAP Operating, CAP Project, Technical Assistance funding, and Federal Aid Program (CMAW and RSTP) administered by DRPT.** The report should detail all work performed by each project staff during the time period covered by the charged expenses, and should include meetings and webinars attended, promotional events conducted, details of assistance provided to commuters, details of assistance provided to employers, documents and advertisements created, social media activities, marketing activities, etc.
5. **Recipients of FTA 5310 funding for Mobility Management must also provide the updated mobility management work plan detailing progress toward the agency's mobility management goals.** The mobility management work plan spreadsheets must be submitted with the reimbursement request in OLGA on at least a quarterly basis following the dates listed below.
6. **For 5311 Operating Assistance or any other type of reimbursement request that is supported by an excel spreadsheet, the recipient must also provide a general ledger or other financial system report that validates the amounts listed on the excel spreadsheet.** If the amounts on the GL or other financial system reports do not match the amounts on the excel spreadsheet, the recipient must provide "crosswalk" documentation showing why there is a variance.
Note: Please do not send in canceled checks or receipts to support all of your state transit operating expenses. DRPT Program Managers will contact you should they require support in addition to that specified above.

Reimbursement Due Dates:

- Data from October through December is due in January
- Data from January through March is due in April
- Data from April through June is due in July
- Data from July through September is due in October

Section 6.1 - Support Documents

All reimbursement requests must include **legible** supporting documentation that details the expenses charged to the project, that those expenses are germane to the project, shows the items produced or purchased through the project, and the work performed. Sufficient supporting documentation attached to reimbursement requests is required to provide evidence and justification for every expense. Support documents provide DRPT staff and external auditors with assurance that expenses paid are in accordance with the terms of the Master Agreement and the Project Agreement.

List of documents that should be provided with a reimbursement request:

- Printout of pay roll system (or other financial system generated documentation showing staff time and benefit/fringe changes)
- Detailed report of work performed by each agency staff person
- Contractor staff charges and details on work performed
- Contractor invoices with a detailed description of work performed, documents and items produced
- Copies of promotional and marketing materials
- Copies of reports, plans, surveys, research, meeting documents, presentations
- Receipts
- Images of promotional items
- Legible copies of paid invoices, that have complete descriptions of the items or work performed, not **just** general description or item number (this may require grant recipient to write a more detailed description on the invoice.)

Note: The summary list above does not include every document that must be provided with a reimbursement request, as some support documentation is specific to the program or project. A detailed list of documents needed for reimbursement of travel expenses is provided in [section 6.3](#).

Receipts and invoices must clearly state what was purchased, what the items are, or work performed. Grant recipients may need to write a short description on the receipt or invoice to indicate what the item is, the purpose of the item, and how it was used. Vendors and contractors should be instructed to include detailed descriptions of items and work performed on their invoices. These notations are helpful when a DRPT Program Manager reviews the reimbursement and for auditors to understand why those expenses were incurred and charged to the project. Supporting documentation must be from an official source such as a receipt, a third-party invoice, or from the recipient's general ledger or other financial system report. Questions about supporting documentation should be forwarded to the recipient's DRPT Program Manager prior to submission of a reimbursement request.

Section 6.2 - Indirect Costs

Some, but not all, grant programs allow indirect costs as a reimbursable expense. Grant recipients that want to charge indirect costs must first have an approved Cost Allocation Plan that includes the calculation of the indirect cost rate. The indirect cost rate calculation must be approved by either a state agency, most commonly VDOT, or federal cognizant agency. The grant recipient must provide an approval letter from one of these agencies to DRPT prior to charging indirect costs to a project.

In addition, indirect costs must have been included as a line item budget category in the submitted OLGA application for funding. Check with a DRPT Program Manager if there are any questions regarding eligibility of indirect costs.

Recipients that intend to seek FTA reimbursement for indirect costs must prepare an Indirect Cost Rate Proposal (ICRP) unless a recipient chooses to use a minimum rate of 10% of the modified total cost. Below you will find more information on ICRP requests.

Basic Requirements of ICRPS:

- ICRPs must be approved by FTA or another cognizant federal agency. Cognizance is generally assigned to the federal agency that provides the predominant amount of federal funding with a recipient.
- ICRPs must be updated annually.
- The updated ICRP must be retained and made available for review at the recipient's annual single audit.



Note: For more guidance regarding indirect cost, refer to FTA circular: [FTA C 5010.IE: Award Management Requirements](#)

Section 6.3 - Travel Reimbursements

DRPT will reimburse personnel traveling on official business or training directly related to the grant project for reasonable and necessary expenses incurred. The use of grant funds to accommodate personal comfort, convenience, and taste is not permitted. Travel expenses are open to the public and must be able to withstand the test of public review. When planning and paying for travel expenses, travelers and travel planners must seek ways to reduce the cost of travel. Economy, prudence, and necessity should be of primary concern in the decision-making process.

For travel expenses related to training under the FTA Section 5311 Rural Transit Assistance Program (RTAP) and Small Urban Transit Program, see [chapter 11.0](#).

DRPT will only reimburse travel expenses in accordance with and up to the state and federal approved rates for lodging, mileage and per diem amounts. The Commonwealth of Virginia uses the [General Services Administration \(GSA\) rates for Lodging and Meals & Incidentals Expenses \(M&I\)](#) and [IRS mileage rate](#). GSA rates are generally published for the Federal fiscal year which runs from Oct. 1st to Sept. 30th annually. The IRS updates the mileage rate annually on January 1st. DRPT's reimbursement rules for travel expenses apply to all state and federal funding administered by DRPT, the associated local match for those grants, and consultants performing work that is charged to grants.

Travel Meals: Reimbursement for meals are only valid when there is approved overnight travel. Expenses for meals for same day trips are not eligible for reimbursement. Expenses for alcoholic beverages are not eligible for reimbursement. GSA's M&IE rates and eligible reimbursement amounts vary by time of year, location, whether meals were provided or not, and travel days. Rates may vary from when the travel was scheduled to the actual travel dates. Therefore, it is important to review the GSA rates and rules to ensure the correct amounts are used in the reimbursement request.

Lodging: Lodging may be reimbursed when an individual is traveling overnight on official business outside his/her work region or program/project service area. **Verify with your agency's assigned DRPT Program Manager to determine if reimbursement for overnight travel is permitted before traveling.** Lodging expenses must follow GSA's lodging guidelines and rates and be reasonable and necessary. Rates above the GSA lodging rates as well as the taxes and fees associated with the higher rates will not be reimbursed. When the lodging rate exceeds the GSA rate, taxes and fees must be prorated and the recalculation of lodging expenses must be shown in the reimbursement request. A receipt for the booking of the hotel is insufficient proof the stay took place. A receipt for actual hotel stay and payment received must be provided with the reimbursement request.

Travel Pre-Check: Before making arrangements or incurring expenses to attend conferences, workshops, training, and **anything that requires an overnight stay** grant recipients should contact their DRPT Program Manager for a "pre-check" of eligibility. The DRPT Program Manager will review whether the workshop, training or conference is related to the grant project and therefore an eligible expense; verify staff attending and the review that the planned travel days are correct and valid. The "pre-check" helps ensure that grant recipients incur expenses for travel that are appropriate and eligible for reimbursement.

Prior to arranging travel and incurring expenses, grant recipients should send their DRPT Program Manager the following information for "pre-check."

- Name, description, location and dates of the conference, workshop, training, etc.
- The names of staff that plan to attend
- The dates of overnight stays for each attendee



Note: International travel *requires* a travel pre-approval

Advance Payments: DRPT does not reimburse for cash advance payments to the traveler. Only the actual travel expenses will be reimbursed.

Documents Needed for Overnight Travel Reimbursements

Reimbursement requests that include travel expenses must include documentation and receipts for all travel expenses. Required documents include:

- Travel expense summary listing sheet. (This is a listing of each travel expense and includes the following: date of travel, lodging, flight, etc.; detailed purpose of travel; destination; mileage, amount of expense being charged)
- Receipt for parking
- Receipt for tolls (toll roads should not be used only for convenience; receipts include EZ-Pass printout)
- Receipt for purchased ground transportation (e.g. taxi, Lyft, Uber, airport shuttles, etc.)

- Airline ticket/boarding pass and payment receipts
- Car rental receipts showing payment amount and zero balance
- Baggage fee receipts
- Receipt for public transportation fares or, if receipts are not available, a printout from the transit operator’s planning tool or website
- Hotel stay receipt showing room rate, taxes and fees detail, and zero balance
- Receipt for registration fees
- Agendas or programs for meetings, conferences, workshops, etc.
- Travel maps showing mileage and route taken

Documents Needed for Travel for Meetings: Reimbursement requests for meetings and business travel that does not require overnight stay must include documentation that justifies and explains the purpose and location of the meeting. The [IRS mileage rate](#) should be used when a personal vehicle is used for travel. Required documents include:

Travel expense summary listing sheet that includes:

- Date of travel
- Address of destination
- Name of meeting
- Purpose of meeting
- Miles traveled
- Calculated mileage expense (must show IRS mileage rate used and miles traveled)
- Parking, tolls, etc.
- Agendas for meetings
- Travel maps showing mileage and route taken (if tolls are being charged, the route map must show that a toll road was taken)
- Receipts for parking and tolls (toll roads should not be used only for convenience; receipts include EZ-Pass printout)

Section 6.4 - Reimbursement Request Timeline

Project Agreement Execution: Reimbursement requests can only be submitted **after** the project agreement has been fully executed by all parties.

Submission of Reimbursement Requests: Reimbursement requests must be submitted at least quarterly, and can be submitted monthly. No more than one reimbursement request may be submitted each month for each program/project. Expenses must be billed to the grant project during which the expenses were paid or incurred.

Review and Payment Timeframe: DRPT will make every effort to review and remit payment within 30 days from submission of the reimbursement request. Each reimbursement request must be approved by the DRPT Program Manager. It may take five to ten business days from the time the Program Manager approves a reimbursement request to when the grant recipient receives payment. Insufficient documentation, such as the absence of a “Summary Sheet” (see [chapter 6.0](#)), missing vendor invoice copy, or other missing information can delay approvals and result in a payment exceeding 30 days.

Key Steps

- 1. Reimbursement Request Submission:** Reimbursement requests must be submitted through OLGA. All supporting documentation (as detailed in sections 6.0, 6.1, 6.2, and 6.3 above) must be uploaded in OLGA with the request. Supporting documentation must also include a “Summary Sheet” ([see section 6.0](#)).
- 2. Reimbursement Request Review by DRPT:** After a reimbursement request is submitted in OLGA, DRPT’s accounting staff will conduct a cursory review to verify if there is a Summary Sheet, supporting documentation, and that the expenses total the amount of the request. DRPT’s accounting staff will note any problems or concerns in DRPT’s internal reimbursement review system and then “release” the request to the assigned Program Manager. The DRPT Program Manager will then conduct a full review of the reimbursement request and all supporting documents.
- 3. Upload Additional Documents in OLGA as Needed or Requested:** During the review process, the DRPT Program Manager may request additional support documents. The grant recipient can upload additional documents on the reimbursement request in OLGA.
- 4. Reimbursement Request – Approved:** The DRPT Program Manager will approve reimbursement requests only when all required supporting documentation is attached, including an accurate “Summary Sheet” ([see section 6.0](#)). Each expense must be eligible, must total correctly, and all applicable state and federal rules followed. Approval by the Program Manager means the request is deemed ready to be paid.
- 5. Reimbursement Request – Suspended:** The DRPT Program Manager may “suspend” a request for reasons, such as: lack of or missing support documents, missing “Summary Sheet” ([see section 6.0](#)), or for questions regarding one or more expenses. Suspending the request puts the reimbursement on hold until questions can be adequately answered or documentation provided. When a request is suspended, the responsible DRPT Program Manager will contact the grant recipient to explain the reason for the suspension and what action is needed. Suspending a request is a temporary status – available for no more than 30 days. If the DRPT Program Manager is satisfied with the answers and additional documents received from the grant recipient, the Program Manager will approve the request for payment. If the Program Manager is not satisfied with the answers and documents, or if the concerns cannot be resolved within 30 days, the Program Manager will “reject” the request.
- 6. Reimbursement Request – Rejected:** The DRPT Program Manager will “reject” a reimbursement request under the following circumstances:
 - There are one or more ineligible expenses.
 - There is an error in the total amount of the expenses.
 - The grant recipient cannot provide sufficient support documentation.

DRPT staff cannot make changes to the amount of the request. Therefore, if there is any error in the request, the entire request must be rejected. Once a Program Manager rejects a reimbursement request, that request is completed and no further action will be made. The grant recipient designated OLGA contact will receive a notification through OLGA that the request has been rejected. The notice will include the reason for the rejection.

7. **Resubmission of a Request:** If the original reimbursement request was rejected, the grant recipient shall make the necessary corrections and resubmit the request. Resubmissions of prior reimbursement requests will not be counted against the one-a-month reimbursement submission rule.
8. **Final Reimbursement:** The final reimbursement request must be submitted in OLGA within 90 days from the project end date.
9. **Reimbursement Payment:** After a reimbursement request has been approved by the DRPT Program Manager, DRPT's accounting staff will process the payment and a check or electronic payment will be generated by the Treasurer of Virginia.

Section 6.5 - Mid-Cycle Grant Requests

Mid-cycle grant requests of state controlled funds should only be made if the need was not foreseeable during the funding application process, and if the funding cannot wait until the next funding/application year without materially affecting the grantee negatively. All Mid-Cycle grant requests require approval from the CTB.

Mid-cycle grant applications are available in OLGA. Grantees must complete and submit a mid-cycle grant application in OLGA, and attach supporting documentation. Requests will be reviewed internally, after submission. If the request is denied, your program manager will notify you to discuss the denial. If the request is approved, it will move forward to be presented at the next CTB meeting for further approval. The Program Manager will discuss the mid-cycle request with the applicable CTB member before the meeting.

Once the CTB approves the mid-cycle grant request, grant agreements will be developed as discussed in [section 5.0](#).

Section 6.6 – DBE and Prompt Payment to Sub-contractors

If a 5310 or 5311 transit agency partners with a DRPT contractor and sub-contractor, then they must abide by and monitor the prompt payment guidelines noted in DRPT's [Disadvantaged Business Enterprise \(DBE\) program](#).

DRPT provides the following clause in each DOT- assisted prime contract:

“The prime contractor agrees to pay each subcontractor under this prime contract for satisfactory performance of its contract no later than 30 days from the receipt of each payment the prime contractor receives from the Virginia Department of Rail and Public Transportation (DRPT) or its sub-grantees. The prime contractor agrees further to return retainage payments to each subcontractor within 30 days after the subcontractor’s work is satisfactorily completed. Any delay or postponement of payment from the above referenced time frame may occur only for good cause following written approval of DRPT of its sub-grantees. This clause applies to both DBE and non-DBE subcontractors.”



Note: Click [here](#) for more information on FTA’s prompt payment guidelines.

Section 6.7 – Public Transit Operating Assistance Payments

Payments for state transit operating assistance are made monthly, quarterly, or annually (based on a schedule approved in the agreements) to approved grant recipients, without the submission of reimbursement requests. For transit providers in the FTA Section 5311 program, recipients must submit requests for reimbursement to receive federal operating assistance. Please see the above sections in this chapter for information about reimbursements.

Chapter 7: Performance Data Reporting Requirements

This chapter provides detail and instructions on reporting requirements for public transportation agencies and Commuter Assistance Program (CAP) grantees.

Section 7.1 - General Requirements

The 2018 General Assembly passed House Bill 1539, which requires the Commonwealth Transportation Board (CTB) to allocate transit operating assistance solely on the basis of performance metrics.

In order to receive transit operating assistance, DRPT requires grantees to report Unlinked Passenger Trips (UPT), Vehicle Revenue Hours (VRH) and Vehicle Revenue Miles (VRM) on a monthly basis in OLGA. Additionally, grantees that report Passenger Miles Travelled (PMT) to the National Transit Database must also report annual PMT in OLGA. All performance metrics are reported by mode and are validated by DRPT Program Managers on an annual basis prior to running the operating assistance formula as identified in DRPT’s Grant Application Manual. Grantees should be prepared to answer questions about performance data submissions during their Quarterly Grantee Meetings with DRPT staff.

Required Performance Metrics

Metric	Description
Unlinked Passenger Trips (UPT)	Number of passengers who board public transportation vehicles, regardless of whether a passenger is transferring from another transit vehicle.
Vehicle Revenue Hours (VRH)	Hours traveled by revenue vehicles (buses, vans, railcars, etc.) while in revenue service. For uni-directional commuter routes greater than 20 miles in length, non-revenue hours associated with deadhead trips will be considered as revenue vehicle hours for the purpose of allocating operating assistance.
Vehicle Revenue Miles (VRM)	Miles traveled by revenue vehicles while in revenue service. For uni-directional commuter routes greater than 20 miles in length, non-revenue miles associated with deadhead trips will be considered as revenue vehicle miles for the purpose of allocating operating assistance.
Passenger Miles Travelled (PMT)	Cumulative sum of the distances traveled by each passenger as reported to the National Transit Database. This metric is used for calculation of the Commuter Rail Pool, and is estimated for small transit agencies based on reported ridership relative to statewide average distance traveled by commuter rail and commuter bus agency passengers.

Section 7.2 - Entering Performance Data in OLGA

Recipients of DRPT operating assistance are required to submit UPT, VRH and VRM in OLGA on or before the last business day of each month for the previous month's activity (ex: the deadline to submit July data is the last business day in August). Additionally, agencies that are required to submit annual PMT in OLGA must do so on or before December 15th each year. All performance metrics must be entered into OLGA by mode.

Backup Documentation: When submitting monthly UPT, VRH and VRM, grantees must attach copies of backup documentation that support each metric being reported. Backup documentation should, at a minimum, include daily UPT, VRH, and VRM by mode and should be submitted in a format that can be easily reconciled by DRPT staff. Summary tables generated by farebox or APC software will be accepted.

Example Monthly Performance Data Backup Table

Agency: Transit Agency B							Monthly Totals
Month: January 2020		1/1/2020	1/2/2020	1/3/2020	1/4/2020		
UPT						>	
Paratransit	45	40	55	50	1,125		
Fixed Route	505	490	485	400	12,625		
VRH							
Paratransit	20	18	25	22	500		
Fixed Route	65	65	65	60	1,625		
VRM							
Paratransit	70	65	85	80	1,750		
Fixed Route	210	210	210	200	5,250		

Data Variances: As grantees enter monthly UPT, VRH, and VRM, the OLGA database will query the agency's entries from the previous year and will flag any entries that have a 10% variance or greater. If a variance is identified, the grantee must describe the reason for the variance prior to data submission (ex: Transit Agency B experienced a 12% decrease in ridership in January 2020 compared to January 2019 due to a winter storm that created major service disruptions).

Section 7.3 - Amending Performance Data

Grantees may amend previously submitted performance data in OLGA if errors are discovered. When amending performance data, OLGA will require grantees to provide a reason for the change.

DRPT asks transit agencies to complete performance data amendments in OLGA no later than October 1st for the previous state fiscal year (ex: state FY20 amendments are due on October 1, 2020). Performance data amendments submitted after October 1st will not be reflected in DRPT's transit operating assistance allocations.

Section 7.4 - Commuter Assistance Program Reporting Requirements

DRPT and its grant recipients are accountable for the use of public funds and need to show that these funds are being put to good use and achieve a benefit to the Commonwealth. One of the

means to show the benefits of the CAP is to measuring the performance of the CAP programs and projects. DRPT is required to provide performance measurements of the CAP to the General Assembly in DRPT's annual report. Additionally, DRPT will provide CAP performance measurement information to the Commonwealth Transportation Board and Virginia's Secretary of Transportation.

As part of the CAP grant program, DRPT requires grant recipients to report on various performance measures on a monthly, quarterly, and annual basis. Below are the CAP performance measurement reporting requirements for all recipients of CAP grants. Performance measures are consistent with the goals and objectives of DRPT CAP grant program as detailed in DRPT's Transit and Commuter Assistance Grant Application Manual, also called the Blue Book. Reporting shall be done by entering performance data in OLGA or through the submission of an Excel spreadsheet. DRPT will periodically conduct data verification to ensure the data can be verified and pass an audit. Contact your DRPT Program Manager for answers regarding these requirements.

CAP Operating Reporting

Recipients of a DRPT's CAP Operating grant must follow the reporting requirements outlined below.

Enter the following data in OLGA each month. The source of the data must be the Commuter Connections ridematching system database or the Commute!VA ridematching and rewards system. Keep a printout of the monthly reports generated from the respective ridematching system as they will be needed when DRPT conducts data verification. DRPT will also verify data for Commuter Connections network members using the quarterly reports generated by the Metropolitan Washington Council of Governments, and the Commute!VA ridematching and rewards system for all other grant recipients.

- New rideshare matches attempted.
- New rideshare matches attempted that found matches.
- Successful follow ups made. (i.e. The number of commuters contacted directly via phone, text, or email to discuss if the commuter contacted the matches received, if they made a commute mode change, what the change was, and to convince the commuter to make a commute mode behavior change if they are a single occupant vehicle commuter.)
- Total number of active commuters in the ridematching database.
- New guaranteed ride home registrants. (This data is required only if DRPT grant funds are used to operate or to conduct marketing and promotion of a GRH program.)
- Guaranteed ride home trips taken. (This data is required only if DRPT grant funds are used to operate or to conduct marketing and promotion of a GRH program.)

Employer Outreach/Service Project Reporting

Recipients of a DRPT's CAP Project Employer Outreach grant must follow the reporting requirements outlined below.

Enter the following data in OLGA each month. The source of the data must be the Commuter Connections ACT customer relationship management system database or similar system. Keep a printout of the monthly reports generated from the system as they will be needed when DRPT conducts data verification. DRPT will also verify data for Commuter Connections network members using the quarterly reports generated by the Metropolitan Washington Council of Governments.

- Number of employer sales calls.
- Number of employer sales meetings.
- Number of New Level 1 employers entered into your program's Customer Relationship Management (CRM) system.

- Total number of Level 1 employers in the CRM.
- Number of New Level 2 employer entered into the CRM.
- Total number of Level 2 employers in the CRM.
- Number of New Level 3 employers entered into the CRM.
- Total number of Level 3 employers in the CRM.
- Number of New Level 4 employers entered into the CRM.
- Total number of Level 4 employers in the CRM.
- Number of employers offering a pre-tax transit benefit.
- Number of employers offering a direct transit benefit.
- Number of employers offering a pre-tax vanpool benefit.
- Number of employers offering a direct benefit vanpool benefit.

Employer Outreach/Services Participation Levels

Level 1

Likely range of trip reduction 0% to 1%.

- Expresses interest in telework, commuter benefits, or other TDM strategy
- Conducts an employee commute survey
- Distributes commute options information to employees
- Posts commute options information on employee bulletin board, intranet sites, newsletter or e-mail

Level 2

Likely range of trip reduction: 0% to 3% **without** telework/compressed work schedules or 0% to 9% **with** telework/compressed work schedules.

Implements two or more of the following strategies:

- Installs a permanent display or brochure holders and stock with commute options information
- Installs electronic screens or desktop feed of real-time travel information for transit and/or other mode availability
- Provides preferential parking for carpools and vanpools
- Implements a telework program with 1-20% of employees participating
- Facilitates car/vanpool formation meetings
- Hosts/sponsors a commute options day or transportation fair
- Implements flextime or staggered work schedule
- Implements compressed workweek for 1-20% of employees
- Installs bicycle racks or lockers
- Installs shower facilities for bicyclists and walkers
- Establishes an Employee Transportation Coordinator (ETC) who regularly provides commute options information to employees
- Provides on-site ridematching
- Supplements GRH program with payment for additional trips or own program

Level 3

Likely range of trip reduction: 2% to 5% **without** financial incentive/disincentive, telework/compressed work schedules or 5% to 20% **with** financial incentive/disincentive, telework/compressed work schedules.

Implements at least one of the following (in addition to the two or more Level 2 strategies):

- Implements a telework program with more than 20% of employees participating
- Implements compressed work week for 21%+ of employees
- Implements a transit/vanpool benefit or parking "cash out" program
- Implements a carpool/bicycle/walk benefit
- Provides free or significantly reduced fee parking for carpools and vanpools (valid only for companies where employees pay for parking)
- Implements a parking fee (valid only for companies that previously did not charge for parking)
- Provides employee shuttle service to transit stations
- Provides company vanpools for employees' commute to work
- Implements a comprehensive bicycle/walking program (includes installation of showers bicycle racks/lockers, and financial incentives for bicycling and/or walking to work)

Level 4

Likely range of trip reduction: 2% to 8% **without** financial incentive, telework/compressed work schedules or 5% to 30% **with** financial incentive, telework/compressed work schedules.

Implements two or more of the Level 3 TDM programs (in addition to the 2 or more Level 2 strategies) and actively promotes these programs and non-single occupant vehicle commuting

Vanpool Project Reporting

Recipients of a DRPT's CAP Project Vanpool grant must follow the reporting requirements outlined below.

Enter the following data in OLGA each month:

- New vanpools started
- Total number of vanpools
- Vanpool ridership
- Vanpool revenue miles
- Vanpool passenger miles traveled (PMT)

Chapter 8: Project Time Extension Requests and Budget Increase Requests

Grant recipients may require a time extension in order to complete a project. If more time is needed to complete a project than is stated in the contract, the grant recipient must submit a project extension request in OLGA **at least 30 days prior to** the project's end date. DRPT will allow only one extension per project. The maximum allowable extension is 12 months from the original project end date. Exceptions to these rules are rare and require significantly more detail and assurances from the grant recipient and as well as more DRPT review. DRPT Program Managers will review the extension request, with a greater number of DRPT internal approvals required if any of the following are true:

- Balance remaining of \$1 million or more of state controlled funds.
- Recipient made the request after the end date of the project had passed.
- The extension request exceeds 12 months.
- The grant has already been previously extended.

Budget increase requests should only be made if the increase was not foreseeable during the funding application process, and if the increase cannot wait until the next funding/application year without materially affecting the grantee negatively.

The following increase requests will require CTB approval, after internal approval of the increase request:

Total Project Cost	Threshold
Less than \$5 Million	Less than 20% increase in DRPT controlled funds
\$5 Million - \$10 Million	Less than \$1 Million increase in DRPT controlled funds
Greater than \$10 Million	Less than 10% or less than \$5 Million increase in DRPT controlled funds

Note: Increase requests that do not require CTB approval are still reported to the CTB.

Scope of work changes will not be considered as part of a request for a time extension. Approval of a time extension is not guaranteed.

 Click [here](#) to access a tutorial detailing time extension request submissions in OLGA

Note: The end date for CAP Operating Assistance projects cannot be extended. CAP Operating Assistance projects are fiscal year grants and grant funds do not roll into the next fiscal year. Eligible recipients apply for CAP Operating Assistance each year so a new grant starts at the beginning of each fiscal year.

Vehicle Replacement and Rehabilitation Projects: For vehicle replacement projects, funding is tied to the Vehicle Identification Number (VIN) associated with the asset being replaced. To change the asset that will be replaced, the grantee is required to submit a scope change request for evaluation prior to delivery of the new vehicle. For vehicle rehabilitation projects, funding is not tied to a specific VIN. To change the asset that will be rehabilitated, a scope change request is not required.

Key Steps

- 1. Submit Extension Request:** An extension request must be submitted in OLGA at least 30 calendar days prior to the original end date of the grant. The request must include a detailed explanation of why an extension is needed, why the project could not be completed within the original timeline, a schedule of work with timeline to project completion, and a budget drawdown timeline.
- 2. DRPT Reviews Extension Request:** A DRPT Program Manager will either approve or deny the request or contact the requestor for more information.
- 3. Notification of Decision:** OLGA will notify the requestor of the decision by email. If the extension is denied, the requesting agency will have 10 business days from the date of notification to appeal the denial. Letters of appeal should be directed to DRPT’s Chief of Public Transportation.

Chapter 9: Project Budget and Scope Change Requests

A grant recipient may sometimes wish to change the scope of a project after it has been awarded or need additional funding to complete a project. These requests should be rare.

DRPT is legally required to seek CTB approval for all changes that are in excess of \$200,000. In order to maximize transparency and openness in DRPT's award process, however, it is vital that all projects be evaluated equally, that the SYIP be discussed in a public forum, as is legally required, and that the SYIP is approved as a whole whenever possible. Further, grants that were awarded under the MERIT project prioritization process (FY20 and later) *will be rescored prior to any modification to the approved project scope*. Scope changes that result in a project score lower than the bright line for funding in that grant year will not be approved.

In the majority of the cases where a scope change is being requested, DRPT will require that the grant recipient deobligate the fund balances from a completed line item or project and submit an application for the change requested (i.e. a new project) during the following grant cycle. If the recipient can justify why waiting until the next grant cycle is not practical (i.e. additional funds are needed to complete an on-going project or potential loss of federal funds), DRPT may consider approving the request off-cycle.

DRPT does not permit funds to be reprogrammed between different projects. The balance of funding will be deobligated and, as noted above, either the recipient will be asked to apply for the new project during the next grant cycle or an off-cycle grant will be considered. Please note that verbal authorization for moving funds is not considered valid. During any compliance review, written authorization (i.e., an approved Request to Change SYIP Allocation form) for such changes will be required.

An example of this is in a situation where grant funding was awarded for the purchase of a specific vehicle. If funds remain after the vehicle is purchased, the remaining funds may not be used toward anything outside of the approved project's scope. The remaining funds must be deobligated.

Section 9.1 - Budget and Scope Change Requests for Transit Programs

Key Steps

- 1. Submit Request to Change Form:** To request a minor scope change or budget increase, contact your DRPT Program Manager for a Request to Change SYIP Allocation form. The form must be signed by an authorized agent of the recipient's agency and include a detailed justification with milestones and dates for the request. Such requests must be reviewed and approved by the appropriate DRPT Program Manager, before being reviewed by DRPT Executive Team.
- 2. Scope or Budget Changes for Special Programs:** Scope or budget changes that increase the amount of DRPT grant funds for a Special Programs project may be considered on a case-by-case basis. Special Programs includes Technical Assistance, Demonstration, and Intern grant programs. DRPT will not approve scope changes that materially change the original scope or increase the project budget to include additional items without approval from the DRPT Project Manager. All change requests should include supporting documentation explaining the justification of the request such as scopes of work, cost proposals, or engineering designs. Failure to provide supporting documentation may result in a denial of request.
- 3. DRPT Reviews Request:** DRPT will evaluate the request and communicate the decision to the requestor. If the request is approved, the grant recipient will receive new grant documentation to reflect the approved funding situation.
- 4. Process for Denial of Request:** If the request is denied, the requestor will be encouraged to apply for the requested funding during the next grant cycle and the current funding in question will be

deobligated through OLGA. If the requestor disagrees with the decision, the requestor has 10 business days from the date of notification by DRPT to appeal a denial of a budget increase request to DRPT's Chief of Public Transportation.

Section 9.2 - Budget and Scope Change Requests for CAP Grants

Budget changes that increase the amount of DRPT grant funds for a project are not permitted under the CAP grant program. A minor scope change may be considered by DRPT on a case-by-case basis, and only if the change does not negatively impact the ability of the project to achieve the objectives of the CAP grant program. Minor scope change requests should be rare and have no impact on the original scope and activities of the project. Funds may not be transferred between line items without written approval from DRPT.

Monitor Line Item Expenses

Recipients of CAP grant funding should frequently monitor the total and line item expenses of their projects and programs to ensure they do not exceed the DRPT approved total budget and line item budgets. It is important to keep reimbursement requests up to date.

When to Notify DRPT Program Manager

Contact the DRPT Program Manager as soon as a scope change is being considered, when expenses for a line item are expected to exceed the DRPT approved budget for that line item, and when considering transfer of funds between line items. Contact the DRPT Program Manager *before* exceeding a line item budget.

Scope Change

CAP grant scope changes are rare. DRPT will not approve scope changes that materially change the original scope or have a negative impact on the ability of the program or project to meet the goals and objectives of the CAP grant program or the grant project. Scope changes may not increase the total budget of the project as approved in the SYIP. If, after discussing the scope change with a DRPT Program Manager, the grant recipient would like to pursue the scope change, the recipient must submit a Request to Change SYIP Allocation form. The form will be provided by the DRPT Program Manager. The form must be signed by an authorized agent of the recipient's agency and include a detailed justification and milestone dates.

Transfer of Funds between Line Items

Any amount of a line item budget that will be unspent should be deobligated through OLGA at the end of the year. The deobligation of unspent funds is not a negative and there is no penalty for deobligating funds. However, in rare and unexpected situations DRPT will consider a request to transfer unspent funds from one line item to another. A grant recipient that wants to transfer funds between line items must first speak with their DRPT Program Manager. Afterwards, if the grant recipient would like to request a transfer of line item funds, the DRPT Program Manager will provide a Budget Revision Request Form. The form must be signed by an authorized agent of the recipient's agency and completed in its entirety, including an explanation of the reason for the change, an explanation of the impact to the project or program, how the funds will be used, and milestones. The net result of the budget revision cannot change the original project's total budget.

Notification of Decision

DRPT's Program Manager will approve or deny the scope or Budget Revision Request within 10 business days. Missing or incomplete information, or delay in responding to DRPT's requests for more information, can delay DRPT's decision beyond 10 business days. If a scope or line item

budget transfer request is denied, the requesting agency has 10 business days from the date of DRPT's decision notification to appeal the denial. Letters of appeal should be directed to DRPT's Chief of Public Transportation.

Note: Failure to obtain pre-approval from DRPT for line item budget transfers or exceeding the budget in a line item may result in denial of reimbursement of the additional expenses for that line item, even if the total budget is not exceeded.

Section 9.3 - Budget and Scope Change Requests for SMART SCALE Projects

Commonwealth of Virginia law requires that all projects evaluated under the SMART SCALE prioritization process be analyzed using an objective, data-driven approach comparing project benefits, costs, and other submitted projects across the state. It is assumed that the project's scope and budget will remain consistent throughout the lifecycle of the project.

When components of an awarded project change, it can impact the project's assumed benefits at the time of project selection. The [SMART SCALE Project Change Guide](#) was developed to offer guidance to SMART SCALE award recipients in the event that such changes are unavoidable. By reviewing this document, award recipients can understand the potential impacts of changes and what to expect during the project change process. **Applicants must request approval from the Commonwealth for project changes before implementation of the change.**

Key steps for seeking approval for a SMART SCALE project change:

- 1. Reach out to your DRPT Program Manager contact to inform them of the change:** Grant recipients should provide all relevant information for the scope and/or budget change request, including assessment for how it would impact the project's benefits that were assumed at the time of funding (e.g., *a proposed transit stop is no longer feasible to be constructed in an original location and must be changed, which would impact the projected transit ridership benefit positively/negatively*).
- 2. DRPT Program Manager will alert DRPT SMART SCALE Point of Contact:** The DRPT SMART SCALE Point of Contact will evaluate the requested changes and decide if it constitutes a scope and/or budget change that must get approval from the Committee on Project Change.
- 3. Committee on Project Change reviews the request:** The Committee on Project Change, which is comprised of a combination of DRPT, VDOT, and OIPI staff, will discuss requested changes and approve or deny the request based on provided information. The Committee could reach out to the award recipient to request more information if necessary.
- 4. Approval or Denial of Request:** If the requested change is *below the identified threshold in the Project Change Guide* and approved, a project change form will be completed by the Committee. If the requested change is *beyond threshold in the Project Change Guide*, it will be presented to the Commonwealth Transportation Board with Committee recommendation of approval. If the requested change is denied by the Committee, feedback will be provided for alternate courses of action if the award recipient is unable to proceed with the project as originally scoped.

Chapter 10: Training Assistance

DRPT administers two training scholarships, the [FTA Section 5311 Rural Transit Assistance Program \(RTAP\)](#) and the State-funded Small Urban Transit Program.



Scholarships are available through DRPT for RTAP funds to assist rural and specialized transit operations to further the development of management skills and to encourage the development of professional networks by attending transit training, seminars, workshops and conferences.

- All RTAP and Small Urban Scholarship requests must be submitted through OLGA
- All approved RAP grant scholarships will be reimbursed up to **100%** of eligible expenses
- All approved Small Urban grant scholarships will be reimbursed up to **95%** of eligible expenses

Section 10.1 - Eligible Applicants

Rural Areas: Public and non-profit organizations that provide transportation services or mobility management services in non-urbanized areas of Virginia are eligible to apply. This training assistance is funded through the FTA Section 5311 program.

Small Urbanized Areas: Providers of specialized transportation or mobility management services in urbanized areas, such as FTA Section 5310 funded agencies, as well as FTA Section 5307 public transit operators in small urbanized areas, have many of the same training and technical assistance needs as transit providers in urbanized areas. DRPT permits participation by these providers, at the State's discretion, as long as the activities are primarily designed and delivered to benefit small urban transit providers. The FTA 5307 Small Urban Grant Program is available to small urbanized areas in UZAs with a population of at least 50,000 but less than 200,000.

Section 10.2 - Eligible Program Criteria

Scholarships are available to reimburse organizations for courses, workshops, seminars, driver 'Roadeos', and conferences with subject matter applicable to rural and specialized transportation and appropriate to the level of expertise of the person(s) attending. Scholarship funds may not be used for lobbying activity, and may not be passed through to for-profit organizations under contract to FTA Section 5310 and FTA Section 5311 recipients. There is a maximum of 2 people/agency for out of state travel. Please see below small urban providers that are eligible for training assistance scholarships:

Eligible Small Urban Providers:

- Blacksburg Transit
- Bristol Transit
- Central Shenandoah Planning District Commission
- Charlottesville Area Transit
- Fredericksburg Area Transit
- Greater Lynchburg Transit
- Harrisonburg Transit

- Radford Transit
- Williamsburg Area Transit
- Winchester Transit

Section 10.3 - Application Procedures

The below section outlines application procedures for applying for RTAP funding.

Key Steps

- 1. Application:** Applications for training assistance should be submitted in OLGA at least 30 days prior to the requested program. A request should include: the program to be attended, staff to attend, detailed description on how the program will benefit the agency and staff, an itemized list of estimated expenses, and an agenda or brochure describing the program to be attended.
- 2. Application Review:** All applications will be reviewed by DRPT Program Managers for organization eligibility and program applicability. The individual submitting the application will be contacted by the DRPT Program Manager if additional information is needed and if the application is approved or denied.
- 3. Invoicing:** When approved, an invoice will be created and located in OLGA under Grantee Management/ Reimbursement Requests.
- 4. Reimbursements:** Reimbursement for expenses will be made to the agency, not the individual. In order to receive reimbursement, recipients should submit a detailed list of daily expenses on agency letterhead or EXCEL spreadsheet. This information should include agency Federal ID# and enclose copies of hotel bills and receipts for all other travel expenses (except meals and mileage). These support documents need to be attachments to the request in OLGA as pdf or EXCEL. The reimbursement request should be submitted to DRPT within 30 days of completion of travel.
Note: If applicable, a certificate of completion/attendance may be required along with reimbursement documents.
- 5. Unspent balances:** Unspent balances must be deobligated in OLGA.

Please keep the following in mind as you complete the application request:

- Maximum reimbursement rates for hotel rooms, hotel taxes, and meals are limited to rates in the effective edition of the [Federal General Services Administration \(GSA\) Travel Guidelines](#) and should be included in the training assistance application.
- Meals provided as part of the conference or training should be identified and deducted per GSA Per Diem rates.
- Air, bus, and train fares must be booked at the lowest available coach rates. Consider possible airfare increases between the time of your application submission and the time the request is approved. Estimated luggage fees should also be itemized.
- Include any registration fees in the request.
- Rental car fees are not eligible for reimbursement unless it is demonstrated that the location of the program and lodging make public transportation, shuttles, or walking inaccessible or inappropriate.
- Mileage is not reimbursable through RTAP

Chapter 11: Project Oversight

As a granting and funding agency, DRPT bears the responsibility to see that public funds are spent within all applicable rules and regulations and achieve a benefit for the Commonwealth. As part of DRPT's effort to carry out this responsibility, DRPT will conduct regular meetings, both in person and virtually, with grant recipients to discuss the progress, activities, and expenses of each project.

Section 11.1 - Project Reviews

DRPT Program Managers will hold project review meetings at least quarterly to provide transit and CAP grant recipients with technical assistance and to ensure DRPT funded projects are proceeding according to plan. Meetings will be scheduled monthly, bi-monthly or quarterly, with at least one on-site meeting held annually. Grant recipients should be prepared to answer questions about the progress and performance of their projects during the scheduled project review meetings.

Key Steps

1. DRPT Program Managers will schedule monthly, bi-monthly or quarterly meetings with transit and CAP grant recipients.
2. **Project Updates:** All DRPT funded projects will be discussed to evaluate progress towards their completion, milestone updates; problems encountered and proposed resolutions; and anticipated progress during the next quarter. The DRPT Program Manager may request a summary report, copies of invoices, proof of payment or other documents for the review. The DRPT Program Manager will record project notes and Milestone updates in OLGA on the "Oversight Report."
3. **Technical Assistance:** The DRPT Program Manager may provide technical assistance as required or requested by the transit or CAP grant recipient and respond to inquiries that the recipient may have regarding projects or other programs and services offered by DRPT.
4. **Other Topics:** the DRPT Program Manager may review the Title VI and ADA complaints; Drug and Alcohol compliance; verify that OLGA contact information is correct; TransAM inventory; findings from the FTA or DRPT compliance reviews; review of recent accidents or safety concerns; and performance data.

Section 11.2 - Engineering Oversight

DRPT sponsored projects that involve design and/or construction activities will have some level of engineering oversight activities performed by either DRPT staff or a General Engineering Consultant (GEC) representing DRPT.

The level of engineering oversight that will be required on a project will be determined according to risk, to be identified on an individual project basis by DRPT staff. Three main categories will determine the perceived risk of a project: the funding source, the cost and complexity of a project, and the grantee experience administering similar projects. The resulting risk level that is determined, either low, moderate, or high, will dictate the engineering oversight activities DRPT may participate in throughout the project.

The table below details the three possible levels of engineering involvement in DRPT sponsored projects and the corresponding oversight activities that the grantee can expect to occur.

Oversight Level (Risk)	Minimum Oversight Activities
Low	<ul style="list-style-type: none"> ○ Provide oversight with in-house staff or use General Engineering Consultant (GEC) ○ Attend project kick-off meeting ○ Attend occasional project meetings as needed for updates, either with DRPT staff or grantee ○ Final plans, estimate, and construction schedule to be submitted to DRPT for record-keeping purposes
Moderate	<ul style="list-style-type: none"> ○ Provide oversight through a GEC or in-house staff ○ Attend project kick-off meeting ○ Attend bi-weekly or monthly project status meetings ○ Review project procurement documents (RFP package, IFB package, bid submittals, etc.) ○ Perform high level review of design phase plans, cost estimates, and schedules ○ Attend additional / other project meetings as needed ○ Attend construction kick-off meeting ○ Perform monthly or quarterly site compliance visits during construction
High	<ul style="list-style-type: none"> ○ Provide oversight through a Project Management Oversight Consultant (PMOC) or GEC ○ Attend project kick-off meeting ○ Attend weekly or bi-weekly project status meetings ○ Review project procurement documents (RFP package, IFB package, bid submittals, etc.) ○ Perform detailed review of design phase plans, cost estimates, and schedules ○ Attend construction kick-off meeting ○ Attend construction kick-off meeting ○ Attend major milestone meetings or activities (i.e. risk register development, punch list development, substantial completion inspection, project closeout, etc.) ○ Perform site compliance and construction observation visits weekly or bi-weekly and as needed ○ Attend public meetings

Should new concerns arise or alternatively should concerns be addressed as a project advances, it is possible that the risk and corresponding level of oversight on a project may change midway through design and/or construction.

CAP grant recipients should coordinate with DRPT early in the project feasibility and development process to ensure the appropriate amount of oversight is deployed to minimize the risk over ineligible reimbursement.

When evaluating cost estimates for project funding applications, grant recipients should consider costs for project and construction management services throughout the development and delivery phases of the construction project to monitor project scope, schedule, risks, actual costs and budgets.

Grantees should engage professional construction management firm to evaluate project design for grant-compliance, risk management, cost estimates, and project development and delivery schedules.

It should be anticipated that if DRPT will be reviewing project plan sets, as is an identified activity in the moderate and high oversight level categories, the grantee should incorporate a 30 day review period for stakeholders into the project schedule. DRPT will provide review comments on the plan set in a comment-response matrix form. It will be expected that the designer will respond to review comments in the matrix response column that will then be sent back to DRPT for concurrence. The comment-response matrix is intended to be a working document and may involve an iterative review process. It should be noted that though DRPT expects the grantee will accommodate DRPT oversight activities into the project schedule, DRPT will cover the costs for the review and meeting attendance internally. DRPT's oversight activities will be paid for by DRPT and not be charged towards the grant funding already applied to a project.

Chapter 12: Grant Close-Out

When a project is complete the project must be officially closed-out by recipients and DRPT. This can be done in OLGA through either a final reimbursement request or a deobligation request.



Click [here](#) to access a tutorial detailing final reimbursement requests and deobligation requests in OLGA

Key Steps

- 1. Submission of Final Reimbursement Request:** The final reimbursement request must be submitted through OLGA within 90 calendar days after the final expenditure or project expiration date, whichever occurs first. The reimbursement request includes a box to be checked to indicate that it is the final reimbursement request.
- 2. Notification of Expiring and Expired Grants:** DRPT's OLGA system automatically sends email notifications to alert the transit and CAP grant recipient's OLGA Master User when projects are about to expire, when the project has expired, and at the deadline for submitting a final reimbursement request. Approximately two months before the project end date an OLGA notification is sent to remind recipients of the project end date. Another notification is sent the day after the project expired alerting the recipient that the project has expired and any work performed after the project end date is not subject to reimbursement. A third email notification is sent as a reminder that only one week remains to submit the final reimbursement request. Ninety days after the project end date, a fourth and final notification is sent, stating that the project has been closed and a deobligation request should be submitted, if needed.
- 3. Project Extension:** DRPT's Program Managers will routinely run reports to review projects nearing their end dates. DRPT Program Managers will communicate with grant recipients on whether an

extension is needed or whether the project should be closed. However, it is the grant recipient's responsibility to request an extension, if necessary, within the timeframe detailed in [section 8.0](#).

4. **Notification of Project Cancellation by Grant Recipient:** If the grant recipient is cancelling a project tied to an executed grant, the recipient must deobligate the project in OLGA (see step 4 below). If the grant recipient is cancelling a project for which an agreement has never been executed, the recipient must cancel the project in OLGA under the "Cancel or Reduce Open Project" function.
5. **Deobligation:** All projects must be deobligated in OLGA when the project is complete- regardless of whether there is a remaining balance or not. To deobligate, OLGA users must submit a deobligation request in OLGA.
6. **DRPT Project Close Out:** DRPT closes out the project in its accounting system. No further reimbursement requests will be processed after this action.

Chapter 13: Asset Management

Chapter 13 provides information on key asset management functions. This chapter provides detail on several key processes surrounding asset management from manufacturing, to data inventories, to vehicle sale and disposal.

Section 13.1 - Transit Vehicle Manufacturers (TVMs)

Transit Vehicle Manufacturers (TVMs) mean any manufacturer whose primary business purpose is to build vehicles specifically for mass public transportation. These vehicles can include buses, rail cars, trollies, ferries, and vehicles that serve paratransit purposes. As an FTA recipient, it is federally required that each recipient certifies that their selected TVM is compliant to the TVM DBE requirements. Recipients are required to report this information within 30 days of the notice of award.

More information on completing this required reporting can be found [here](#).

5311 Agencies

DRPT is responsible 5311 reporting to FTA, the following documents need to be sent to DRPT in a timely fashion to ensure on-time submissions: cost of vehicles, copy of the purchase order, name of the manufacturer, the total value of the contract, and the date of award (when the grantee places the order, not when the grantee receives the vehicle). DRPT must file this information with FTA within 30 days of the award date.

Section 13.2 - Capital Asset Inventory

All recipients of state capital assistance funding are required to enter asset inventory information in DRPT's online transportation asset management system, [TransAM](#). This information is used to verify asset conditions and for determining when an asset qualifies for replacement. Please note all update requirements for vehicles, facilities, and infrastructure below:

Vehicles

All revenue vehicles and non-revenue vehicles (i.e. support vehicles) must be logged in TransAM when they are put into services. Odometer readings for all vehicles must be updated twice annually on July 15 and January 15. In addition, transit agencies are encouraged to update the condition assessment of all vehicles when odometer readings are updated. All vehicles, regardless of the funding source used to acquire them, should be reported in TransAM in order to maintain a complete log of transit assets and funding needs on a statewide basis. Vehicles that are not entered in TransAM will be ineligible for prioritization under the State of Good Repair prioritization in MERIT.

Facilities and Infrastructure

All transit facilities and infrastructure must be logged in TransAM, and condition assessments must be updated annually. Please note that for all Tier II transit agencies, DRPT sponsors detailed facility condition assessments to be completed for all facilities statewide on a four year rolling schedule as part of the TAM planning process (See [section 3.2](#)). Tier I and rural transit agencies may also opt to participate in DRPT sponsored detailed facility condition assessments as needed. A high level, abbreviated condition assessments for all facilities must be completed on an annual basis and updated in TransAM.

Section 13.3 - Transit Asset Management (TAM) Plan

On July 26, 2016, FTA published a [Final Rule for Transit Asset Management \(TAM\) in Federal Register Volume 81, Number 143](#). The rule requires that all transit providers receiving funding under 46 U.S.C Chapter 53 and own, operate, or manage capital assets used in the provision of public transportation create a TAM plan. Recipients must develop asset management plans for their public transportation assets, including vehicles, facilities, equipment, and other infrastructure. Requirements under the Final Rule vary based on a number of factors including agency size, type of services offered and funding source. At a minimum, all TAM Plans must include an asset inventory, condition assessments of inventoried assets, and a prioritized list of investments to improve the state of good repair of their capital assets.

The TAM rule provides different levels of requirements based on whether or not an agency is a Tier I or Tier II agency. The table below identifies the differences between the tiers.

Tier I	Tier II
Operates rail	Sub-recipient of 5311 funds
OR	OR
≥ 101 vehicles across all fixed route modes	American Indian Tribe
OR	OR
≥ 101 vehicles in one non-fixed route mode	≤ 100 Vehicles across all fixed route modes
	OR
	≤ 100 Vehicles in one non-fixed route mode

Agencies are required to create their own TAM plans. Tier I agencies are defined as public transportation providers that operate rail, or have 101 vehicles or more across all fixed route modes, or have 101 vehicles or more in one non-fixed route mode.

Tier II

Providers may either participate in a group plan or opt out and develop their own TAM Plan. DRPT sponsors a group plan for all interested recipients classified as a Tier II provider. A Tier II provider is defined as a sub-recipient of Formula Grants for Rural (FTA 5311) or Urbanized Areas (FTA 5307) Funds, an American Indian Tribe, a provider with 100 or less vehicles across all fixed route modes, or a provider with 100 or less vehicles in one non-fixed route mode. Tier II providers that participate in DRPT's group plan are required to regularly update and maintain their asset inventories in TransAM which must include asset condition assessments for vehicles and facilities. Parts of the plan include: measurable state-wide state of good repair goals, a decision support tool to aid in making asset investment decisions, and a list of funding priorities based on TAM targets.

Group plan participants are expected to work closely with DRPT throughout the TAM Plan creation and update process to ensure that all FTA requirements are met. This includes maintaining accurate asset inventories in TransAM so DRPT can update the Tier II Statewide TAM performance measure targets annually.

DRPT's first TAM plan was submitted to the FTA in September 2018 and an addendum was added to the plan in October, 2019. The plan must be updated every four years. The current Tier II Group plan will be fully updated by October 2022.

Section 13.4 - Disposal of Vehicles: Rural Providers (FTA 5311)

Providers must use property for appropriate project purposes for the duration of the useful life of the property. Because DRPT is the recipient of the FTA 5311 funds, we are responsible to the federal government for the appropriate usage and disposition of this equipment. For that reason, DRPT maintains the title on all FTA 5311 vehicles for the duration of their useful life. DRPT also provides a state match for the FTA 5311 funds.

Once a vehicle has reached its useful life, the sub-recipient should send a written request to DRPT for the title to be released. If eligible, DRPT will release the title so the vehicle may be sold or otherwise disposed. DRPT will send the title to the sub-recipient upon request after the completion of the vehicles useful life. Disposition of equipment before the end of useful life requires DRPT approval prior to the disposition; DRPT will then notify FTA. If a sub-recipient no longer needs the vehicle for the purpose for which it was acquired and requests a title for a vehicle that is not past its useful life, DRPT will seek to have the vehicle transferred to another eligible sub-recipient. The original sub-recipient will be reimbursed for local interest of the fair market value of the vehicle by the new sub-recipient. If DRPT cannot find an eligible sub-recipient for the vehicle and both DRPT and FTA approve the sale of the vehicle by the original sub-recipient.

DRPT has three processes for title release:

- 1. For vehicles titled prior to June 2021,** DRPT retains paper titles (if available) bearing the sub-recipient's name as owner and reflecting a DRPT lien. DRPT staff will sign the lien section on the paper title to release the lien on the vehicle and will mail the title to the sub-recipient along with a lien release letter. Sub-recipients are then required to take the paper title and a completed VSA-17A to their local Virginia Department of Motor Vehicles (DMV) office to obtain a new, clear

paper title with no lien reflected. This ensures that the DMV has a record of the lien being released prior to sale or disposal.

2. **For vehicles titled prior to June 2021 for which DRPT does not have a paper title**, a lien release letter will be provided. The sub-recipient should then take the lien release letter and a VSA-17A to the local DMV to obtain a new, clear paper title.
3. **For vehicles titled after June 2021**, DRPT manages an electronic title record. When a lien is released on an electronic title, the DMV will directly mail a new, clear title to the sub-recipient. A lien release letter may be provided, but will not be needed by the DMV.

After the equipment's useful life is expended with prior DRPT approval, the recipient may sell its federally assisted property for which there is no longer any public transportation purpose.

The Infrastructure Investment and Jobs Act (IIJA) changed the provisions for transit asset disposition [49 USC § 5334(h)(4)(B)]. Vehicles that were purchased with Section 5311 funds, have a fair market value of \$5,000 or more, and are sold after November 15, 2021 are subject to the new provisions. Subrecipients may retain \$5,000 plus 4% of the sales price. DRPT will recoup 80%, and any additional amount is required to be returned to the FTA through DRPT. If the equipment is sold for less than \$5,000, the grantee still must inform DRPT. The proceeds are to be indicated in their General Ledger and noted as such. These proceeds are to be used by the transit agency, for transit purposes.

To comply with this requirement, please complete [the attached form](#) after your vehicle(s) is sold and return this form via email to drptacctsreceivable@drpt.virginia.gov and Neil.Sherman@DRPT.Virginia.gov.

All sub-recipients should maintain active [DMVNow](#) accounts. Upon sale or disposal of a vehicle, the sub-recipient should record the vehicle as sold in the DMVNow account.

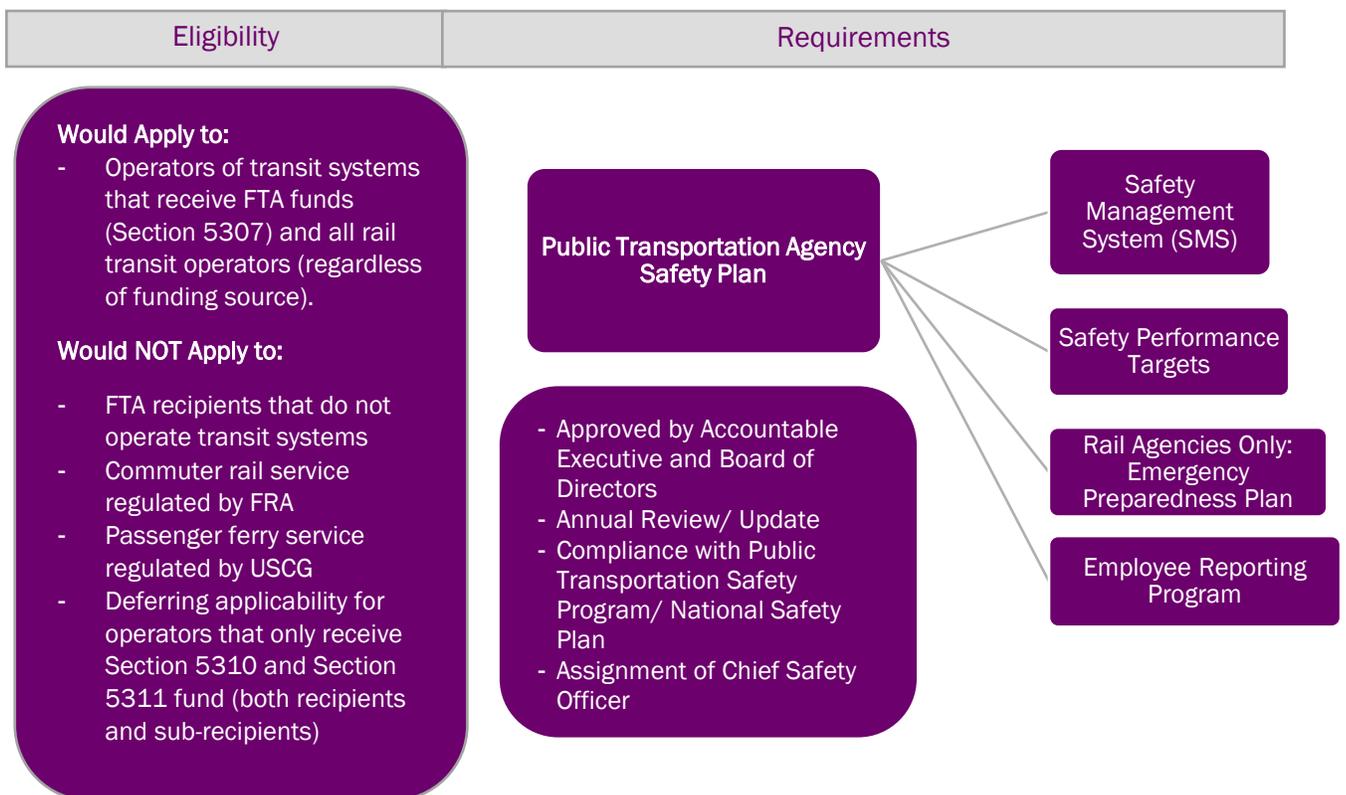
If new applications are not immediately anticipated, the recipient must inform the appropriate DRPT contact of the disposition within a reasonable amount of time. Otherwise, the subsequent capital application should contain information that the gross project cost has been reduced with proceeds from earlier capital disposition. DRPT will notify FTA as appropriate. The sub-recipient must update the DRPT [Asset Management inventory database \(TransAM\)](#) by recording the disposition, final mileage, sales price, and date. The sub-recipient must also register the sale with the DMV. This can be completed online and it protects both the sub recipient and DRPT in case the vehicle purchaser does not complete the registration of the vehicle in their name.

Chapter 14: Public Transportation Safety Plan

On July 19, 2018, [FTA published the Public Transportation Agency Safety Plan \(PTASP\) Final Rule in Federal Register Volume 83, Number 139](#). This rule requires that operators of public transportation systems receiving FTA funds must develop safety plans that include the processes and procedures necessary for implementing Safety Management Systems (SMS). This rule is intended to help transit agencies manage safety risks while prioritizing capital investments that promote safety.

The Public Transportation Agency Safety Plan (PTASP) requirement applies to all public transportation agencies receiving FTA Section 5307 funds. Agencies operating rail or agencies operating more than 100 vehicles in peak revenue service must create their own plans under the Tier I requirements. Small public transportation providers, those agencies that do not operate rail and have 100 vehicles or less in peak revenue service that fall into the Tier II requirements, and may participate in group plan.

A PTASP must include documentation and analysis of four main topic areas: safety management policy, safety risk management, safety assurance, and safety promotion. The plan must also include safety performance measures.



DRPT sponsors a group plan for all small public transportation providers in Virginia that wish to participate. **Small public transportation providers choosing to opt-out of DRPT's PTASP are required to draft and certify their own plans.** The Tier II Group PTASP plan was finalized in July 2020. Participating transit agencies are responsible for annually reviewing and updating their section of the group plan. The annual review must be completed before July 20th each year in accordance with (§673.11(a)(5)). The accountable executive and equivalent authority (board) must approve every revision to the Agency Safety Plan.

Chapter 15: Submission of Audited Financial Statements

On an annual basis, recipients are required to submit their audited financial statements, more commonly known as a Comprehensive Annual Financial Report (CAFR) to their DRPT Program manager. CAFRs must be submitted to your DRPT Program Manager within six months of the end of the recipient's Fiscal Year End.

Key Steps

1. **Recipient Submission of Audited Financial Statement:** Recipients email a copy of their CAFR to their DRPT Program Manager. Audited financial statements must be submitted within 180 days after fiscal year end. If the file is larger than 5MB, please send your DRPT Program Manager a link to an entry on your website or to an FTP site. If an extension is needed, a written request should be made to the DRPT Program Manager.
2. **Review by DRPT:** The DRPT Audit Manager and Program Managers review the recipient's audited financial statements upon receipt. Any significant issues of concern that are revealed will be shared and discussed with the recipient.

Chapter 16: Financial Compliance Review

On a periodic basis, DRPT conducts financial compliance reviews of recipients to provide financial technical assistance and to ensure that DRPT program requirements, as documented in Master Agreement and specific Project Agreements, are being met. Recently a review of Performance Data; Passenger Trips, Revenue, Hours, and Revenue Miles, has been added to DRPT Compliance Reviews. This was added because Performance Data measures have become a vital tool in determining Operating Assistance funding. Recipients that have had significant compliance issues in past compliance reviews will be subject to more frequent reviews. Recipients should contact the DRPT Audit Manager with any questions or concerns.

Key Steps

1. **Notification of Selection:** A number of recipients are selected for compliance reviews on a quarterly basis. Selected recipients are notified approximately six weeks ahead of time, informed of the documentation to have available for review, and provided the option to contact the DRPT Audit Manager or consulting firm with any questions.
2. **Consultation with Program Manager:** The DRPT Audit Manager consults with each selected agency's Program manager to determine whether there are any issues that should be considered during the compliance review.

3. **Desk Review:** The DRPT Audit Manager or consulting firm will review all supporting documentation provided by the recipient related to the reimbursement requests selected as part of the sample size of their upcoming compliance review recipient to ensure that the recipient is conducting the grant-funded projects in compliance with the applicable master agreements and project agreements.
4. **On-Site Review:** After the desk review is completed, the DRPT Audit Manager or consulting firm will contact the recipient with any questions they may have. They will also set up the dates for the on-site portion of the compliance review process at this time.
5. **Identification of Issues:** If issues are identified, the DRPT Audit Manager or consulting firm will discuss them with the recipient and offer the opportunity to provide more documentation in hopes of resolving the potential issue.
6. **Documentation of Findings:** Each finding is documented on a standard form, which is called an Audit Issue Fact Sheet, which summarizes the project and the issues to be addressed. Recipients sign off on the finding, indicating that the finding was discussed with them. Signing this form does not indicate that the recipient agrees with the finding. The documented findings are summarized in a compliance review report.
7. **Review of Report:** A Draft DRPT Compliance Review Report will be created and sent to the recipient for their review. If a corrective action plan (CAP) is required, the recipient will be required to submit the CAP to DRPT. The compliance review report is then updated by the DRPT Audit Manager to include the CAP if needed. The Compliance Review Report is then submitted to DRPT management for review.
8. **Approval and Transmittal of Report:** After the Chief Financial Officer signs off on the final report, the DRPT Audit Manager will send it to the recipient with the CAP included as Appendix B.

Chapter 17: Capital Budgeting

DRPT requires all recipients receiving transit capital assistance to enter their five-year capital budget in OLGA. This information is used to determine capital funding needs for the future Six-Year Improvement Programs. The capital budget is also an important tool in the preparation of the State Transportation Improvement Plan.

The transit capital budget is due by **February 1** of each year. It must be entered in order for your capital application for that year to receive consideration for funding. Further, if DRPT does not receive a correct capital budget, the Recipient's projects may not be included in the STIP, thus increasing the time required before DRPT can go to contract on any given project.

DRPT depends on agencies to create 5-year capital budgets that are both accurate and complete, with firm projections to perform analyses and inform the statewide funding discussions.

Statewide executives depend on the accuracy of forecasting the funding needs of transit agencies. Therefore, it is important to not over-estimate. When developing a 5-year capital budget, it is important to identify those "projects that will realistically be implemented" each year for the next five fiscal years.

DRPT reviews 5-year budgets submitted as part of the current fiscal year SYIP, and identifies whether projects will realistically be implemented in the year provided and whether the cost estimates are still accurate.

The estimated funding included in this list should be what each agency intends to apply for in each fiscal year, not the expected spending each year. Projects that will be “realistically implemented” are those for which local funding match is expected to be available.

Note: This process should go beyond the federal guidelines of identifying projects for which funding sources are reasonably expected to be available, and identify only those that can be implemented with funding that is expected to be available and committed.

Key Steps

1. **Log In to OLGA:** Recipients log in to OLGA and follow the “Enter Your Capital Budget” link.
2. **Enter Capital Budget:** The Recipient’s current year capital application is year one, and the remaining five years of projections will be entered under the capital budget. During the current fiscal year, recipients would enter a capital application for the following fiscal year with their capital budget information covering five fiscal years.
3. **Update Budget Information:** The next year, the system will pre-populate the capital budget fields with the information the recipients have entered during the previous year. The recipients should update this information as needed, and enter the data for the new sixth year. In the example in 2 above, the recipient would put in an application for fiscal year 2020, update the data already entered during the previous year for 2021 – 2024, and enter data for 2025.

Glossary

Acronym/Term	Definition/Explanation
ATL	Average Trip Length. The average distance ridden for an unlinked passenger trip (UPT) by time period (weekday, Saturday, Sunday) computed as passenger miles travelled (PMT) divided by unlinked passenger trips (UPT).
BRT	Bus Rapid Transit.
CAFR	Comprehensive Annual Financial Report.
CAP	Commuter Assistance Program.
CIP	Capital Improvement Plan.
CN	Construction phase.
CTB	Commonwealth Transportation Board.
CLRP	Constrained Long Range Transportation Plan. The MPO's adopted Transportation Plan; serves as the initial step and framework in developing a regionally based network of transportation facilities and services that meets travel needs in the most efficient and effective manner possible.
CMAQ	Congestion Mitigation and Air Quality Improvement Program. Funding to projects that contribute to meeting national air quality standards in non-attainment areas for ozone and carbon monoxide.
CR	Commuter Rail. A transit mode that is an electric or diesel propelled railway for urban passenger train service consisting of local short distance travel operating between a central city and adjacent suburbs.
DBE	Disadvantaged Business Enterprise
DMV	Department of Motor Vehicles.
DEIS	Draft Environmental Impact Statement. Federally required study that is precursor to all major transportation projects and their ability to receive federal funding. Examines potential environmental, community, and other major impacts a proposed transportation project may have.
DR	Demand Response. A transit mode comprised of passenger cars, vans or small buses operating in response to calls from passengers or their agents to the transit operator, who then dispatches a vehicle to pick up the passengers and transport them to their destinations.
DRPT	Department of Rail and Public Transportation.
EIS	Environmental Impact Statement. A National Environmental Policy Act (NEPA) document that explains the purpose and need for a project, presents project alternatives, analyzes the likely impact of each, explains the choice of a preferred alternative, and finally details measures to be taken in order to mitigate the impacts of the preferred alternative.
ESL	Estimated Service Life. The FTA standard for minimum service life of a specific type of asset.
FEIS	Final Environmental Impact Statement. The final part of the DEIS process which reflects the extensive review and public comments of a DEIS.

FHWA	Federal Highway Administration. Division of the U.S. Department of Transportation responsible for administrating federal highway transportation programs under title 23 U.S.C.
Fixed Route	A system that provide designated public transportation on which a vehicle is operated along a prescribed or planned route according to a fixed schedule.
FTA	Federal Transit Administration. Federal entity responsible for transit planning and programs under title 9 U.S.C.
FY	Fiscal Year. A one year period used for financial reporting and budgeting. In Virginia, the fiscal year starts on July 1.
GEC	General Engineering Consultant
GSA	The General Service Administration. An independent agency of the United States government that supports the management of basic government functions.
Heavy Rail	An electric railway system that has the capacity to handle a heavy volume of traffic, this contrasts with light rail systems, which usually handle a smaller volume.
HSR	High Speed Rail.
ICRP	Indirect Cost Rate Proposal
Intermodal Transportation	Refers to transport by two or more modes of transportation. For example, passenger stations which provide transfers between buses and trains are described as intermodal.
IRS	Internal Revenue Service. Body that determines mileage rates.
ITB	Inside the Beltway. The portion of I-66 east of I-495 (Capital Beltway). A certain portion of revenues from the tolling of this corridor will be dedicated to transit projects in this corridor.
ITS	Intelligent transportation systems. An advanced application which aims to provide innovative services relating to different modes of transport and traffic management, this system enables users to more effectively use transport networks.
Light Rail	A mode of urban rail transit that encompasses tram and metro features. Operates at a higher capacity and speed than tram and typically has a designated ROW.
MAJ	Major expansion projects for MERIT funding.
MERIT	Making Efficient and Responsible Investments in Transit- is the Virginia Department of Rail and Public Transportation's (DRPT) statewide public transportation grants program.
MG	Minimum Guarantee. A funding category created in TEA-21 that guarantees a 90% return of contributions on formula funds to every state.
MIN	Minor enhancement projects for MERIT funding.
Mobility Management	Part of our Human Services programming, mobility management focuses on coordination between public transportation providers and other human service agencies providing transportation to enhance access to transportation beyond one organization. This includes the process of

	connecting seniors and individuals with disabilities to transportation, but does not include operating costs.
MOU	Memorandum of Understanding.
MPO	Metropolitan Planning Organization, required in any urbanized area with a population greater than \$50,000 .
MSC	Metro Safety Commission. Organization that will provide federal mandated state safety oversight of WMATA on behalf of Virginia, Maryland, and D.C.
NVTC	Northern Virginia Transportation Commission. Regional governance body allocating local, state, and federal funding to transit providers in Arlington and Fairfax Counties, and the Cities of Alexandria and Falls Church. Co-owner of VRE.
OLGA	Online grant administration utilized by DRPT grantees.
OTB	Outside the Beltway. The portion of I-66 west of I-495 (Capital Beltway). A certain portion of revenues from the tolling of this corridor will be dedicated to transit projects in this corridor.
OIPI	Office of Intermodal Planning and Investment. Office will cooperatively coordinate the planning and execution of the SMART SCALE program and SYIP as it relates to both DRPT and VDOT.
PE	Preliminary Engineering. Significant phase of project planning and development.
PMT	Passenger Miles Travelled. The cumulative sum of the distances ridden by each passenger.
PTASP	Public Transportation Agency Safety Plan (required by FTA for all agencies who receive federal funding)
RAB	Revenue Advisory Board. The 7 member panel created by HB1359 to investigate and report to the General Assembly impacts and recommendations regarding the forthcoming loss of capital bonds that fund the DRPT transit capital program.
ROW	Strictly defined, a legally and physically separated strip of land for exclusive use by transit vehicles; crossings may be allowed, (2) Broadly defined, any path or way on which transit vehicles travel.
RSTP	Regional Surface Transportation Program.
RTAP	Rural Transit Assistance Program.
SGR	State of Good Repair for MERIT funding.
SIP	State Implementation Plan. Created for attainment maintenance of air quality standards.
SMART SCALE	System Management, and Allocation of Resources for Transportation/ Safety, Congestion, Land Use, Economic Development, and Environment. SMART SCALE is the resulting program that seeks to invest limited tax dollars in projects that meet the most critical transportation needs in Virginia through a data-based prioritization process.
SMP	Statewide Mobility Plan. VDOT's 10 year plan for adding capacity to the transportation system using the Mobility Category Funds of Federal and State Transportation funding.

SSO	State Safety Oversight. Federal law requires states provide safety oversight of rail transit agencies within their jurisdiction. In Virginia, this is limited to WMATA and HRT only.
STIP	Statewide Transportation and Improvement Program. The STIP is a multi-year capital improvement program of transportation projects on and off the State Highway System, funded with revenues from the State Highway Account and other funding sources.
SYIP	Six Year Improvement Program.
TAM	Transit Asset Management- a requirement for transit providers receiving funding under 46 U.S.C Chapter 53 and own, operate, or manage capital assets used in the provision of public transportation to plan for the inventory and longevity of assets.
TEA-21	Transportation Equity Act for the 21st Century: Federal Legislation authorizing funds for all modes of transportation and guidelines on the use of those funds. This landmark legislation that clarified the role of the MPOs in the local priority setting process. TEA-21 emphasizes increased public involvement, simplicity, flexibility, fairness, and higher funding levels for transportation.
TDP	Transportation Development Plan.
TIP	Transportation Improvement Plan.
TrAMS	The Transit Award Management System. FTA's platform to award and manage federal grants.
TransAM	DRPT's online transportation asset management systems. All recipients of state capital assistance funding are required to enter asset inventory information for vehicles and facilities/infrastructure.
TSDAC	Transit Service Delivery Advisory Committee. 7 member panel of transit grantees and DRPT staff tasked with technical and policy assessments of the delivery of DRPT transit capital and operating programs.
TSP	Transportation Strategic Plan
ULB	Useful Life Benchmark. Useful life means either the expected life cycle of a capital asset or the acceptable period of use in service determined by FTA .
UPC	Uniform Project Code
UPT	Unlinked Passenger Trips. The number of passengers who board public transportation vehicles. Passengers are counted each time they board vehicles no matter how many vehicles they use to travel from their origin to their destination.
UZA	Urbanized Areas (FHWA)
VDOT	Virginia Department of Rail and Public Transportation
VPRA	Virginia Passenger Rail Authority.
VRH	Vehicle Revenue Hours .The hours that vehicles actually travel while in revenue service.
VRM	Vehicle Revenue Miles. The miles that vehicles actually travel while in revenue service.

VOMS	Vehicles Operated in Annual Maximum Service. The number of revenue vehicles operated to meet the annual maximum service requirement. This is the revenue vehicle count during the peak season of the year, on the week and day that maximum service is provided.
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